Overview and Scrutiny Management Board

Agenda

Date: Thursday, 25 October 2018
Time: 5pm
Venue: City Hall, College Green, Bristol, BS1 5TR

Distribution:

Councillors: Geoff Gollop, Estella Tincknell, Donald Alexander, Tom Brook, Stephen Clarke, Claire Hiscott, Gary Hopkins, Carole Johnson, Paula O'Rourke, Celia Phipps and Jo Sergeant

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Date: 17th October 18
Agenda

1. Welcome, Introductions and Safety Information  
   (Pages 4 - 5)

2. Apologies for absence

3. Declarations of Interest

4. Minutes of the previous meeting - 3rd September 18  
   (Pages 6 - 10)

5. Chair's Business
   To note any announcements from the Chair

6. Public Forum
   Up to 30 minutes is allowed for this item

   Any member of the public or Councillor may participate in Public Forum. The detailed arrangements for so doing are set out in the Public Information Sheet at the back of this agenda. Public Forum items should be emailed to democratic.services@bristol.gov.uk and please note that the following deadlines will apply in relation to this meeting:-

   Questions - Written questions must be received 3 clear working days prior to the meeting. For this meeting, this means that your question(s) must be received in this office at the latest by 5 pm on Friday 19th October 18

   Petitions and Statements - Petitions and statements must be received on the working day prior to the meeting. For this meeting this means that your submission must be received in this office at the latest by 12.00 noon on Wednesday 24th October 18

7. Equality and Inclusion Strategy  
   (Pages 11 - 51)

8. Corporate Performance Report  
   (Pages 52 - 68)
9. Corporate Risk Register

10. Standing Item - Chair's Updates

11. Standing Item - Mayor's Forward Plan (information only)

12. Work Programme
   To note the work programme and agree the process for Budget Scrutiny in 18/19
Public Information Sheet


You can find papers for all our meetings on our website at www.bristol.gov.uk.

You can also inspect papers at the City Hall Reception, College Green, Bristol, BS1 5TR.

Other formats and languages and assistance
For those with hearing impairment

You can get committee papers in other formats (e.g. large print, audio tape, braille etc) or in community languages by contacting the Democratic Services Officer. Please give as much notice as possible. We cannot guarantee re-formatting or translation of papers before the date of a particular meeting.

Committee rooms are fitted with induction loops to assist people with hearing impairment. If you require any assistance with this please speak to the Democratic Services Officer.

Public Forum

Members of the public may make a written statement ask a question or present a petition to most meetings. Your statement or question will be sent to the Committee and be available in the meeting room one hour before the meeting. Please submit it to democratic.services@bristol.gov.uk or Democratic Services Section, Brunel House St Georges Road Bristol BS1 5UY. The following requirements apply:

- The statement is received no later than 12.00 noon on the working day before the meeting and is about a matter which is the responsibility of the committee concerned.
- The question is received no later than three clear working days before the meeting.

Please see www.bristol.gov.uk and the ‘How to Have Your Say’ pdf for the parameters of each individual Committee and what will happen to your submission.

Any statement submitted should be no longer than one side of A4 paper. If the statement is longer than this, then for reasons of cost, only the first sheet will be copied and made available at the meeting. For copyright reasons, we are unable to reproduce or publish newspaper or magazine articles that may be attached to statements.

By participating in public forum business, we will assume that you have consented to your name and the details of your submission being recorded and circulated to the committee. This information will also be made available at the meeting to which it relates and placed in the official minute book as a public record (available from Democratic Services).
We will try to remove personal information such as contact details. However, because of time constraints we cannot guarantee this, and you may therefore wish to consider if your statement contains information that you would prefer not to be in the public domain. Public Forum statements will not be posted on the council’s website. Other committee papers may be placed on the council’s website and information in them may be searchable on the internet.

Process during the meeting:

- Public Forum is normally one of the first items on the agenda, although statements and petitions that relate to specific items on the agenda may be taken just before the item concerned.
- There will be no debate on statements or petitions.
- The Chair will call each submission in turn. When you are invited to speak, please make sure that your presentation focuses on the key issues that you would like Members to consider. This will have the greatest impact.
- Your time allocation may have to be strictly limited if there are a lot of submissions.
- If there are a large number of submissions on one matter a representative may be requested to speak on the groups behalf.
- If you do not attend or speak at the meeting at which your public forum submission is being taken your statement will be noted by Members.

Webcasting/ Recording of meetings

Members of the public attending meetings or taking part in Public forum are advised that all Full Council and Cabinet meetings and some other committee meetings are now filmed for live or subsequent broadcast via the council’s webcasting pages. The whole of the meeting is filmed (except where there are confidential or exempt items) and the footage will be available for two years. If you ask a question or make a representation, then you are likely to be filmed and will be deemed to have given your consent to this. If you do not wish to be filmed you need to make yourself known to the webcasting staff. However, the Openness of Local Government Bodies Regulations 2014 now means that persons attending meetings may take photographs, film and audio record the proceedings and report on the meeting (Oral commentary is not permitted during the meeting as it would be disruptive). Members of the public should therefore be aware that they may be filmed by others attending and that is not within the council’s control.
Members of the Overview and Scrutiny Management Board Present (in full or part); Councillors Don Alexander, Charlie Bolton (substituting for Paula O’Rourke), Tom Brook, Stephen Clarke, Geoff Gollop (Chair,) Gary Hopkins, Claire Hiscott, Carole Johnson, Olly Mead (substituting for Jo Sergeant) Celia Phipps and Estella Tincknell.

Other Members present (in full or part); Councillors Nicola Beech, Craig Cheney and Paul Smith.

1. Welcome

The Chair welcomed all attendees to the meeting.

2. Apologies for Absence and Substitutions

It was noted that Cllr Mead was subbing for Councillor Sergeant and Councillor Bolton for Councillor O’Rourke. Councillors Alexander and Tincknell advised they would be leaving early.

3. Declarations of Interest

None received.

4. Minutes of the Previous Meeting

The minutes from the following meetings were approved as a correct record;

12th April 18
18th June 18
Call in Sub Committee - 26th June 18

5. Chair’s Business

The Chair advised that parts of the meeting relating to Bristol Energy, the Arena and the Companies would be held in exempt session.

The Board agreed that a statement to Cabinet would be submitted setting out their ongoing concerns in relation to the population of the Forward Plan. Details as follows;
Members of OSM note the Mayors Forward Plan issued on 6 August 2018 and are disappointed that all 14 items scheduled for decision between 6th August and April next year are new, and due to be decided at the 4 September Cabinet meeting.

This clearly provides no opportunity for pre-decision scrutiny of the majority of these items, not least because the papers were not released until Council offices had closed on the Friday evening of the bank holiday weekend week before the Cabinet meeting, (meaning exempt papers were not available until after the bank holiday).

The Forward Plan should be a key part of the decision-making process and is fundamental to the checks and balances that form part of the governance of the Council.

This failure is not new, but is getting worse, in that there has never before been a Cabinet meeting where none of the items were on the Forward Plan 5 weeks before the meeting.

After the publication of the Forward Plan a further confidential item was added to the Cabinet agenda relating to Bristol Energy, even though the need for that item should have been known in advance.

Can I register the serious concern of OSM members and ask that urgent action is taken to improve the Forward Plan and Executive interaction with scrutiny.

As a result of the above, OSM was only able to include a very small number of items on is agenda and wishes to register the following comments.

RESOLVED; that the comments set out above be referred to the Cabinet for consideration at their meeting on 4th September 18.

6. Public Forum

The following public forum was received and a copy placed in the minute book;

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<thead>
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<th>Name</th>
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<td>9 - Arena Update Report</td>
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<tr>
<td>2.</td>
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7. Exclusion of Press and Public

RESOLVED;

That under s.100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of schedule 12A of the Act.

8. Bristol Energy Operational Plan

Members received an introductory presentation setting out details of the Operational Plan for Bristol Energy, following which they went on to consider the information provided and ask for additional details in a number of areas. It was agreed that the following comments would be referred to Cabinet for consideration at their meeting on 4th September 18;

- OSM briefly reviewed the Bristol Energy Operating Plan.
- Members noted that parent company guarantees were effectively underwriting the Energy Company. There was no presentation as to the likely pressures on borrowing between October and
April, nor was there any presentation of the latest management accounts or an indication of June, July and August customer numbers against budget, which would have indicated whether the current year budget is attainable. In the same way the comparisons of current year gross margins with forecast, month by month, would have been a helpful indication of the companies’ direction of travel and members believe the Mayor should need assurances that the guarantees are funding working capital not losses.

- OSM had insufficient notice of this item being considered and insufficient time to scrutinise this item for an opinion to be formed and does not believe there is sufficient information for the Mayor to determine whether it is financially prudent to continue with this level of financial support.
- OSM was concerned that this significant decision had received no comments from the Independent Shareholders Advisors who were so important to the governance process and this was a serious omission.
- Members were excited about the potential options arising from the City Leap prospectus and the expressions of interest received but were concerned at how the Council would turn those expressions into income flows.
- Members expressed a high level of disappointment that the Council had not been able to award contracts to Bristol Energy.
- Members expressed the view that the situation was sufficiently serious that there was a need for regular briefings on the position of the Energy Company. Members welcomed the officer proposal that Party Group Leaders should be briefed regularly and would suggest a 6 monthly update to scrutiny.

RESOLVED; that the comments set out above be referred to the Cabinet for consideration at their meeting on 4th September 18.

9. Arena Update Report

Members welcomed representatives from Arena Island Limited who provided a summary of their public forum statement and went on to answer questions from Members. Following the discussion, Members agreed that statement below would be referred to Cabinet for consideration at their meeting on 4th September 18;

- Members spent 10 hours scrutinising proposals as they stood in June 18. It is now apparent that the alternative mixed-use proposals must already have been available by that point, but they were kept under wraps until the day before September Cabinet papers were published. The detailed submission from our June meeting confirms that Members of all 4 parties voted by 10 votes to one for the Temple Meads site.
- Members have had insufficient time to look at the Legal and General proposals in any detail, and we note that the Mayor plans to make this decision without any public consultation whatsoever as well as not allowing time for scrutiny.
- More significantly many of the questions raised by OSM from its June meeting have not been answered and only been met with aggressive criticism and obfuscation.
- Members raised specific concerns and agreed that these items should be referred to Cabinet.
- Members were concerned about the employment of a consultant with a clearly conflicted involvement with projects close to the Filton location. (Note – the Monitoring Officer has added that the relevant officer has confirmed that he hasn’t previously been employed by YTL as was alleged in the press and during the OSM meeting). They also raised issues around contracts of employees that allowed them to take information to new employers.
• Members noted that the confidential briefing on potential claims provided insufficient information to form an opinion and would have expected a much more detailed and informed document to be available. (Although it appears that OSM has not seen the detailed information that has been seen by some local media).
• Members would have expected to see in confidence a paper on the possible risk and potential cost of a judicial review. No such paper was available.
• Members questioned whether these items were on the Corporate Risk Register and were surprised to be told that they were not but would be added very soon.
• The Board expressed surprise that the Mayor had apparently not engaged with Arena Island Limited during the last year.

RESOLVED; that the comments set out above be referred to the Cabinet for consideration at their meeting on 4th September 18.

10. Creation of a Housing Company – for Information Only

See minute relating to Item 11 – Companies Governance Review.

11. Companies Governance Review Action Plan – for Information Only

Members agreed that the following comments in relation to the Companies Governance Review and Housing Company be submitted to Cabinet for consideration at their meeting on 4th September 18;

• OSM viewed the Companies Governance report and noted that significant improvements had been made since the initial report had been produced, but also noted that the ongoing performance was still not satisfactory.
• OSM saw no evidence to suggest that the Council had identified a mechanism for managing and developing businesses or for making speedy commercial decisions.
• OSM could see no financial logic in incorporating a housing company that is intended to be successful within Bristol Holdings.
• Members were unanimous in welcoming all the aims and intentions of the proposed Housing Company and did not want that process slowed down at all, but also wanted to emphasise that unless the governance arrangements were much sharper and more agile than those currently in place the risks could be significant. Members wanted to see effective working governance processes established at the start that could allow commercial decisions to be made quickly whilst still being subject to the appropriate checks and balances.
• Because of time constraints OSM did not have the ability to scrutinise the proposals adequately.

RESOLVED; that the comments set out above be referred to the Cabinet for consideration at their meeting on 4th September 18.

12. Work Programme

The Work Programme was noted.

The meeting ended at 17.40
Report of:  Mike Jackson

Title: Equality and Inclusion Strategy

Ward: N/A

Officer Presenting Report: Jean Candler

Contact Telephone Number: 07384 243795

Recommendation

For the Overview and Scrutiny Board to consider and comment on the revised Equality and Inclusion Policy and Strategy before it is considered for adoption by Full Council on 13 November 2018.

The significant issues in the report are:

To publish a revised Equality and Inclusion Policy (alongside an accompanying five year strategy to implement this activity), ensuring we meet our statutory obligations as set out under the Public Sector Equality Duty, as well as considering broader aspirations to address inequalities.
1. **Summary**

The report sets out a revised Equality and Inclusion Policy alongside a strategy to meet our key objectives over the next 5 years. It demonstrates the links with the recently approved Bristol Equality Charter. The equality objectives identified to form the core of the strategy are:

1. Our handling of equality and inclusion will reach the high standards we expect of ourselves and others will look to us as a source of good practice.
2. To build an inclusive organisation where the workforce reflects the city we serve and the needs of all citizens, and where colleagues feel confident about being themselves at work.
3. To provide inclusive services which actively address inequality and exclusion and enable all of Bristol’s citizens to realise their potential and live safely.
4. To achieve a measurable increase in the extent to which communities facing inequality can share in and contribute to the city’s success.
5. Progressive building of good relationships between different communities in Bristol so everyone is able to participate and contribute.

This strategy dovetails with the vision and activities of the draft organisational improvement plan. This describes the corporate activities we will undertake to help us adapt to the future needs of the organisation and deliver our objectives and high quality services for the citizens of Bristol. The plan has a workstream dedicated to diversity and inclusion and outlines the detailed actions we will take to support the workforce in delivering this equality and inclusion strategy.

2. **Context**

The Equalities Review published in June 2018 included a recommendation for the council to urgently develop a new equalities policy and strategy.

3. **Policy**

In our business plans for 2018/19 we committed to ‘Conduct a review of our approach to equalities, including our strategy, governance and policy to strengthen practice across all service areas.’

The Corporate Strategy describes the aspirations for the future organisation, one where we innovate and improve, ensuring the council is one that people are proud of and which delivers its priorities to high standards.

4. **Consultation**

   a) **Internal**

This policy and strategy has been reviewed by Mayor of Bristol, Marvin Rees, Deputy Mayor, Cllr Asher Craig, Resources and Communities Executive Directors’ Meetings, and Corporate Leadership Board. As well there has been engagement with relevant colleagues and Staff Led Groups (SLGs). The SLGs have highlighted concerns regarding for example, unconscious bias, which they’d like to see addressed in
the strategy. Trade union representatives were engaged during the equality review and the strategy has been sent to them for consultation.

**b) External**

We have also engaged with VCS organisations (eg Voice and Influence Partnership) and Race and Women’s Commissions, and these groups support the approach and have provided suggestions such as how to use these partnerships and the Bristol Equality Network (being established following the launch of the Equality Charter) to address inequalities and helping identify ‘pathways’ for career progression through forging links with other relevant training and opportunities available in the city.

**5. Public Sector Equality Duties**

5a) Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:

i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.

ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --

- remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;

- take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it (in relation to disabled people, this includes, in particular, steps to take account of disabled persons' disabilities);

- encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to –

- tackle prejudice; and

- promote understanding.

5b) The Equality and Inclusion Policy and Strategy set the standards and mechanism to ensure the council fulfils its obligations under the Public Sector Equality Duty. The draft Equality Impact Assessment is attached as an appendix.
A - Equality and Inclusion Policy and Strategy
B - Equality Impact Assessment

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
Background Papers:
None
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Foreword by Mayor Marvin Rees and Deputy Mayor Councillor Asher Craig

[To follow]
Equality and Inclusion Policy

Valuing Bristol’s diversity

Bristol has long been a diverse city and is becoming ever more diverse. This is one of its great strengths. Securing the benefits of Bristol's diversity by being a more inclusive organisation will help the council to: be more creative; make decisions that are informed by diverse points of view; know our communities well and listen to them more closely; design, commission and deliver the most effective possible services; and make the best use of our resources. A wealth of evidence from the public, private and voluntary sectors supports our view that greater equality and inclusion will benefit our citizens, our communities, our colleagues and our partners.

Our equality and inclusion ambition, shared with our Bristol Equality Charter partners, is to create a fairer, safer, accessible and inclusive city where everyone feels they belong, has a voice and an equal opportunity to succeed and thrive. Achieving this will contribute directly to the vision set out in our Corporate Strategy of driving a city of hope and aspiration where everyone can share in its success.

Securing the benefits of Bristol’s diversity

To secure the benefits of diversity we are building an inclusive organisation that actively recognises the contribution that people from different backgrounds make to all aspects of the council’s work and the city’s communities.

Being truly inclusive is not just about welcoming different contributions. Inclusion also means actively tackling inequalities and advancing greater equality, as well as fostering good relations between different people. Inclusion means removing the barriers – physical, economic or social – that hold people back, so we build a city in which everyone feels a part.

A key reason why many people in Bristol are held back is because of significant inequality, discrimination and lack of opportunity connected to one or more of the characteristics that are protected under the Equality Act 2010. These are age, disability, gender reassignment, marriage or civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. This policy re-states our long-held commitment to tackling inequality on these grounds, not just because it’s our legal duty but also because doing so helps create a more successful city.

As a public body we are bound by the Public Sector Equality Duty. This strategy sets out how we will meet our statutory obligations under this duty, which is defined within the Equality Act as:
“A public authority must, in the exercise of its functions, have due regard to the need to—

(a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;

(b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;

(c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Our Equality and Inclusion Strategy sets out how we will fulfil these obligations, which apply to all the council’s functions. Both this Equality and Inclusion policy and its accompanying strategy apply to the council’s roles as a service provider, as an employer, as a leading agency in the city and in our work with communities.

Creating a successful inclusive city also means recognising that there are other causes of inequality or exclusion, often inter-connected and mutually reinforcing. People can be excluded because they have low income, are socially isolated, live in poor housing or due to poor health. Refugees and migrants, those with caring responsibilities or who have been in care are likely to face inequality or exclusion. Some people facing these issues also face inequality because of their Equality Act protected characteristics. As well as looking at our statutory duties, as set out under the Public Sector Equality Duty, our strategy will also consider wider aspirations, such as reducing inequalities of outcome which result from socio-economic disadvantage. As part of our annual reporting of equalities and inclusion we will identify socio-economic trends and where we can focus our future efforts to reduce socio-economic inequalities.

Issues relating to other forms of inequality or exclusion are already considered through topics, programmes and projects such as food and fuel poverty, health and life expectancy, educational outcomes, access to good quality jobs, support for refugees and fostering resilient communities. These take account of the different causes and consequences of inequality and consider the differing needs and diversity of people throughout our communities. We will continue this approach and through our strategy ensure our activities are linked to our equality and inclusion objectives.

Our commitments

We commit to fulfilling both the letter and the spirit of our legal obligations under the Equality Act 2010 and any other subsequent legislation relating to equality. We require our contractors and the organisations that we fund to abide by all the equality
legislation that applies to them and to assist the council in upholding its obligations under the public sector equality duty.

We commit to being a learning organisation about equality and inclusion, always ready to improve our practice and to address new issues as they arise. We will seek to understand and address the root causes of inequality and exclusion in Bristol and to focus our efforts on tackling those root causes. If we make mistakes, we will put things right and learn from our experience.

Wherever it is possible to do so we will promote good equality and inclusion practice amongst our partners in the city and in our region and seek to learn from their best practice. We will engage with communities and voluntary sector partners, listening to their views and taking them into account when we make decisions.

As part of our commitment to equality and inclusion, we are founder signatories of the Bristol Equality Charter. All signatories of the Charter undertake to:

- Recognise, support and empower those responsible for promoting equality in our organisation
- Listen to and understand the diverse needs of all people to make our information, services and products more accessible and inclusive
- Review the diversity of our workforce in order to identify areas for improvement and set ourselves equality goals
- Ensure that equal opportunities are integral to how we recruit and treat our workforce
- Address all allegations of discrimination, harassment, bullying and victimisation in an effective and timely manner
- Play our part in promoting good relations between people from different backgrounds
- Share good equality practice and improve outcomes for all those living, working, studying in or visiting Bristol
- Measure and share our progress and success.

We have of course been seeking to do these things for many years but in signing the Charter we have re-affirmed our commitment. Our equality and inclusion strategy sets out how we will not just meet but go beyond these commitments over the next five years.

Making it happen

In the future we want people and organisations, in Bristol and beyond, to look to the council as a model of good practice in addressing equality and inclusion. We define this as meaning:

- Actively considering equality and inclusion in very practical ways in all that we do so others can readily see the difference it makes
Leading from the top of the organisation and holding ourselves to account
Listening to the experiences of people with lived experience of all forms of inequality and exclusion and taking what they tell us into account when we make decisions
Embedding equality analysis into policy and strategy development so decisions are made on the basis of the deepest possible understanding of their implications for equality and inclusion
Showing that we value diversity in how we all speak and behave every day, not just when we’re talking about equality
Being open and transparent about our progress on equality and inclusion, sharing information with our partners and our communities, celebrating successes and learning from experience, including our mistakes
Having a workforce that is diverse in the widest possible sense and in which diversity of background and thought is valued
Supporting a workplace where colleagues from different backgrounds work together harmoniously and productively and everyone feels valued
Using policies and practices that demonstrably enable colleagues to fulfil their potential and progress within our organisation
Delivering and commissioning services that actively promote equality and inclusion
Working with communities and neighbourhoods to support equality and inclusion at local levels
Putting equality and inclusion at the heart of our strategic work with partners to deliver the One City approach.

To help make that happen, we have agreed a corporate equality and inclusion strategy with clear goals and outcomes, aligned to our corporate strategy and supported by annual corporate equality and inclusion action plans. Our equalities and inclusion strategy will be updated alongside our corporate strategy. Each directorate will be required to develop and implement their own equality and inclusion action plans that support our corporate equality and inclusion strategy. Councillors will review implementation from time to time to ensure we are on track and we will publish details of our progress.

Everyone working for Bristol City Council has a part to play in achieving the goals of this policy. Councillors and senior officers have a particular responsibility because active, visible leadership is essential and the organisation’s leaders commit themselves to give that. Staff representatives, including our staff-led groups and our trade unions, have an important role to play and we are committed to enabling them to make an effective contribution. We will also continue to engage and work with voluntary and community organisations in the city, particularly through the Voice and Influence Partnership.
We have a variety of more detailed operational policies that need to support, complement or be aligned with the goals of this equality and inclusion policy. These set out specific goals and measures to address specific operational issues. These include our organisational improvement plan, human resources, learning and development policies, our strategy for welcoming asylum seekers and refugees, our policies on hate crime and violence against women and girls and our communications and engagement policies. Our equality and inclusion policy also complements our approach to community development. As each of these related policies is developed or reviewed we will ensure alignment where appropriate.
Introduction

The council’s vision of driving a city of hope and aspiration where everyone can share in its success is set out in our Corporate Strategy. We want to keep creating an inclusive organisation and an inclusive city and this Equality and Inclusion Strategy sets out how over the next five years we plan to realise our ambitions. By 2023 we want to be seen as a beacon of good practice. Over the first year we intend to put in place the foundations to deliver this strategy effectively and during the lifespan of this strategy we will achieve higher standards in all areas, ensuring that by 2023 we are modelling good practice across the organisation as a whole. This strategy is also part of a range of initiatives to tackle the growing disparity between wealth and poverty in the city.

We want people and organisations, in Bristol and beyond, to look to the council as a model of good practice in addressing equality and inclusion. We define this as meaning:

- Actively considering equality and inclusion in very practical ways in all that we do so others can readily see the difference it makes
- Leading from the top of the organisation and holding ourselves to account
- Listening to the experiences of people with lived experience of all forms of inequality and exclusion and taking what they tell us into account when we make decisions
- Embedding equality analysis into policy and strategy development so decisions are made on the basis of the deepest possible understanding of their implications for equality and inclusion
- Showing that we value diversity in how we all speak and behave every day, not just when we’re talking about equality
- Being open and transparent about our progress on equality and inclusion, sharing information with our partners and our communities, celebrating successes and learning from experience, including our mistakes
- Having a workforce that is diverse in the widest possible sense and in which diversity of background and thought is valued
- Supporting a workplace where colleagues from different backgrounds work together harmoniously and productively and everyone feels valued
- Using policies but practices that demonstrably enable colleagues to fulfil their potential and progress within our organisation
- Delivering and commissioning services that actively promote equality and inclusion
- Working with communities and neighbourhoods to support equality and inclusion at local levels
Putting equality and inclusion at the heart of our strategic work with partners to deliver the One City approach.

This strategy sets out our equality objectives for the next five years, in line with the Corporate Strategy time frame, and the objectives will be reviewed midway through.

It shows how we will apply our Equalities and Inclusion policy in practice. This document also demonstrates how we think we might best measure our progress towards these goals. Some of these measures relate to phenomena, such as life expectancy or employment levels, that are affected not just by what the council does but by many other factors too. We have nevertheless included them here because we think it is important to track these important outcomes, not just to measure what the council itself is doing. In the first year of implementing the strategy we will review our potential measures and, where appropriate, set targets to which year on year progress will be measured.

We will regularly revisit this strategy to ensure it remains relevant and in particular that it reflects an up to date understanding of the underlying cause of inequalities and exclusion in Bristol.

Our Equality and Inclusion Objectives

Our equality and inclusion objectives:

1. Our handling of equality and inclusion will reach the high standards we expect of ourselves and others will look to us as a source of good practice.
2. To build an inclusive organisation where the workforce reflects the city we serve and the needs of all citizens, and where colleagues feel confident about being themselves at work.
3. To provide inclusive services which actively address inequality and exclusion and enable all of Bristol's citizens to realise their potential and live safely.
4. To achieve a measurable increase in the extent to which communities facing inequality can share in and contribute to the city’s success.
5. Progressive building of good relationships between different communities in Bristol so everyone is able to participate and contribute.

Taken together these objectives relate to each aspect of the council’s roles as an employer, as a provider of services, as a facilitator of resilient communities and as a leading agency in the city.

The rest of this strategy sets out what we will do or are already doing to achieve these objectives, why we have chosen them, how we will measure progress and who we think will benefit in particular. It also explains how each objective relates to other
work we are doing and who we will need to work with. We believe these five equality and inclusion objectives will help us to meet the commitments we made when we signed the Bristol Equality Charter.

Each year we will agree a corporate action plan setting out in more detail what we are doing to work towards each objective.

**Reporting Progress**

We will publish information explaining what progress we are making towards achieving these objectives. We also plan to host an equalities and inclusion annual event bringing together partners across the city, including civil society organisations and all those that have signed up to the Bristol Equality Charter, to review progress, celebrate successes and identify any new issues that we should address.
Objective 1

Equality Objective

Our handling of equality and inclusion will reach the high standards we expect of ourselves and others will look to us as a source of good practice.

This objective is about what we will do to support the quality of decision making.

Related Bristol Equality Charter commitments

As an organisation we will
- Recognise, support and empower those responsible for promoting equality in our organisation
- Measure and share our progress and success

Why this matters

Creating the culture which embeds equality and inclusion across our activities, and adopting the right leadership model, structures and processes will enable us to achieve the high standards we have identified for ourselves.

What we are doing now and will be doing in future

Co-ordination
- Establishing a suitable core staff structure and resources to deliver this strategy
- Setting up an operational-level equalities and inclusion steering group consisting of representatives of the Equalities and Inclusion team, the HR Diversity, Inclusion and Employee Initiatives team, the Neighbourhoods and Communities Service team and the equality and inclusion champion for each directorate. The steering group’s role will be to co-ordinate progress against this strategy, share intelligence, identify upcoming issues and support the corporate leadership board on equalities and inclusion.

Responsibilities
- Assigning to the Head of Paid Service the role of Senior Equality and Inclusion Champion, responsible for leading the implementation of this strategy and for senior-level sponsorship of the staff-led equalities groups
- Ensuring progress against this strategy is a regular item on Corporate Leadership
Board’s agenda and features regularly in internal communications to colleagues

- Identifying an equality and inclusion champion on each directorate management team who will take the lead in ensuring their directorate has equalities and inclusion action plans in place that will help deliver this strategy
- Identifying equality and inclusion champions at service level to improve robustness of Equality Impact Assessments

Assessing equality impacts

- Establishing tighter criteria, processes and standards for equality impact assessment to
  - Assess the equalities impacts of different policy choices/spending options before a preferred option is identified, so equalities impacts inform decisions about which option is selected
  - Assess the equalities impact of all relevant policy and service decisions
  - Ensure appropriate equalities data is available and is used to inform decision making
  - Ensure decision makers have appropriate information about equalities impacts in the lead up to decisions and at the time they are made, understand their responsibility to pay due regard to this information and exercise it in practice
  - Develop and implement a process to assess the cumulative impact of a series of connected/interdependent decisions.
  - Where possible, assess the impact of decisions on socio-economic inequality as well as on the Equality Act protected characteristic groups
- Regularly refining the council’s understanding of the underlying causes of inequalities in the city so this can drive future strategic thinking and action

Human rights

- Looking at ways to incorporate human rights commitments and approaches into the equality and inclusion strategy in line with good practice

Keeping citizens informed and tracking progress

- Publishing information at least once a year summarising progress against our equality and inclusion objectives and outlining any challenges we are facing in moving forward
- Our consultation and engagement strategy will outline how our activities will adopt best practice in seeking the views of all citizens about the council’s services.
- Regular intelligence-gathering and liaison between representatives of the equalities and inclusion steering group and civil society groups with an interest in this agenda
- Holding an annual equality and inclusion event with partner organisations and civil society groups to discuss progress, identify upcoming issues and celebrate successes
### Inter-action with other plans, organisations or groups

Voice and Influence Partnership  
VOSCUR  
Bristol Equality Network  
Race Commission  
Women’s Commission

### Measures

- Information about Bristol’s performance on equality and inclusion is published at least annually in forms that are accessible and engaging to citizens  
- Self-assessment against the local government equality framework shows Bristol is returning to an excellent level of performance  
- Equality impact assessments are timely and relevant and are used to inform decisions  
- Improvement in the quality of equality impact assessments  
- The council has a clear understanding when decisions are made about the impact on equality including socio-economic equality
### Objective 2

#### Equality Objective

To build an inclusive organisation where the workforce reflects the city we serve and the needs of all citizens, and where colleagues feel confident about being themselves at work.

This objective is about the council’s role as an employer.

#### Related Bristol Equality Charter commitments

As an organisation we will:

- Listen to and understand the diverse needs of all people to make our information, services and products more accessible and inclusive
- Review the diversity of our workforce in order to identify areas for improvement and set ourselves equality goals
- Ensure that equal opportunities are integral to how we recruit and treat our workforce
- Address all allegations of discrimination, harassment, bullying and victimisation in an effective and timely manner

#### Why this matters

To achieve our vision we need to do more than eliminate discrimination and harassment, important though that is. We must develop a culture that has inclusion and equality at the heart of everything we do. Unless leaders and managers role model inclusive behaviours and oversee practices that support equality and inclusion, our policies will not have the impact that we need to see. This is not just about the council’s role as an employer: a genuinely inclusive organisation is the foundation for commissioning and delivering services that meet the needs of Bristol’s diverse communities and treat citizens with respect. Inclusive cultures do not just happen - unconscious biases and unwitting prejudices get in the way, as do time pressures and lack of knowledge or confidence - so creating this culture will involve conscious effort and co-ordination over the whole period of this strategy.

#### What we are doing and will be doing in future
Inclusive leadership
- Inclusive leadership training for senior colleagues so that all senior leaders are able consistently to role model inclusive behaviours
- Inclusive leadership training to all colleagues with line management/supervisory roles

Recruitment and progression
- Review of policies such as secondment and acting up policies to support increased mobility and career progression for staff from groups that are under-represented at middle and senior management levels
- Support targeted initiatives like ‘Stepping Up’\(^1\) that enable colleagues from groups that are under-represented at senior levels to progress their careers
- Monitor the impact of positive action programmes like ‘Stepping Up’ to review how well they achieve their goals and apply our learning to future work
- Actively seeking to recruit council staff in wards with disproportionately high levels of unemployment and to raise awareness of range of roles available within the council
- Review how recruitment processes operate in practice with a view to better understanding why some groups, e.g. BAME and disabled applicants, are proportionately less likely to succeed in getting jobs than other groups.

Pay
- Continue the work of the council’s gender pay commission
- Determine whether there is a race pay gap, or a disability pay gap and plan how to tackle these gaps

HR policy framework
- Expand current review of HR policies to include systematic review of potential for unconscious bias within practices and policies

Performance and staff engagement
- Ensure all colleagues, including managers, have relevant performance objectives for their role in sustaining an inclusive organisation. Link these objectives to assessments of colleagues’ learning needs within the performance review system (how we will achieve this will be determined by our current review of this area.) HR will develop a bank of model inclusive organisation performance objectives.
- Explore reasons behind grievances from and disciplinary actions involving under-represented groups and take appropriate action to deal with any equalities issues identified.

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\(^1\) The first cohort of Stepping Up is directly supporting people with a BAME background, but future programmes will look to support other groups who are under-represented in leadership roles.
• Look at ways of supporting career progression for groups who are under-represented at senior levels, including how effectively we make reasonable adjustments for disabled colleagues and how well we make it possible for colleagues to combine work and family or caring responsibilities.

Knowledge and skills
• Build workforce knowledge and skills on equality and inclusion by
  o Expanding unconscious bias training so that, as a minimum essential requirement, all council colleagues complete an e-learning module, for which completion is tracked.
  o Regularly training colleagues on good equality and inclusion practices, prioritising areas/teams where feedback suggests there may be bias hotspots. Bias hotspots might be identified by clusters of grievances or disciplinaries or complaints or concerns from citizens.
  o Ensuring information about these equality objectives and progress towards them is regularly communicated to colleagues via our cascaded communications approach
  o Developing a clear narrative about how the council’s values can be applied to support equality and inclusion and incorporating this into training on the values.
  o Training all colleagues who carry out equalities impact assessment on appropriate techniques and processes

Inter-action with other plans, organisations or groups

Workforce and Organisational Improvement Plan
Learning and Development Plan
Corporate Strategy
Corporate Business Plan
Staff-led equality groups
Trade unions

Measures
• Reduce the disability pay gap (if monitoring shows a gap)
• Reduce the race pay gap
• Reduce the gender pay gap
• Increase the % of employees that live in the 10% most deprived areas of the city
• Difference between progression rate of BAME and non-BAME employees
• Difference between progression rate of female and male employees
• Percentage of top earners who are women
• Percentage of top earners who are BAME
• Percentage of top earners who have a disability
• Staff survey shows high levels of engagement and wellbeing, with year on year improvement
• Staff survey — no statistically significant difference in engagement and wellbeing levels between of BAME, disabled and LGBT staff and workforce as a whole
• Year on year increases in the proportion of colleagues who self-declare their diversity characteristics
• Consider taking part in Stonewall’s Workplace Equality Index
• Bristol City Council’s workforce is broadly reflective of the demographics of the working age population in the communities we serve
• Reduction in disproportionate numbers of grievances from BAME colleagues and disabled colleagues
• Reduction in disproportionate numbers of disciplinaries involving BAME colleagues and disabled colleagues
• Staff-led equality groups feel they are able to contribute effectively and help make a difference.
### Objective 3

#### Equality Objective

To provide inclusive services which actively address inequality and exclusion and enable all of Bristol’s citizens to realise their potential and live safely.

This objective is about the council’s role as a deliverer and commissioner of services.

#### Related Bristol Equality Charter commitments

As an organisation we will

- Share good equality practice and improve outcomes for all those living, working, studying in or visiting Bristol

#### Why this matters

The council has duties and powers to provide a wide range of services. Many of these services can play a role in creating a more level playing field for people who face inequality or exclusion.

#### What we are doing and will be doing in future

- Each service area will identify local equalities gaps, issues and priorities and create an annual action plan for addressing them.
- We will develop a systematic risk-based approach to reviewing service areas to identify and address potential unconscious bias in service design or delivery arrangements.
- We will review the approach to equality in the commissioning and procuring of goods, works and services set out in our Social Value policy to ensure that:
  - we design commissioned services in ways that will eliminate discrimination and harassment, advance equality, including socio-economic equality, and foster good relations wherever it is possible and relevant to do so
  - we take all possible opportunities to ensure our suppliers and contractors take an active approach to contributing to our equalities and inclusion goals, including having standard terms in contracts with external suppliers that require adherence to the Council’s Equalities and Inclusion policy and
equal pay and cooperation to enable the Council to comply with any of its requirements under the Equality Act 2010.

- We will review how effectively the council is currently using its powers in relation to planning, transport, housing and licencing to enable disabled and older citizens to live, work and move around safely and efficiently.
- We will develop and implement an accessible communications policy that sets good practice accessibility standards for the design and content of all council communications – corporate and service specific.
- We will develop and implement an accessible website policy, building on current good practice, to ensure means of requesting services or raising issues with the council are accessible to disabled people and to those at risk of being excluded because of language issues.
- Our draft Consultation & Engagement Strategy (in preparation) will define how we will seek to increase participation by under-represented citizens in consultations and engagement. This will help to ensure that our services and actions are informed by the views and needs of all our citizens.
- We will ensure that equalities and inclusion are fully embedded in our scrutiny arrangements.

### Inter-action with other plans, organisations or groups

- Bristol Voice and Influence Partnership
- VOSCUR
- Race and Women’s Commissions
- Bristol Manifesto for Race Equality Strategic Leaders Group
- Staff-led equality groups

### Measures

We will develop a set of measures and protocols for this objective once each service area has identified its equalities priorities and created an action plan for addressing them. Further measures will be developed in alignment with the emerging Social Value policy.
<table>
<thead>
<tr>
<th>Objective 4</th>
</tr>
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<tbody>
<tr>
<td><strong>Equality Objective</strong></td>
</tr>
<tr>
<td>To achieve a measurable increase in the extent to which communities facing inequality can share in and contribute to the city’s success.</td>
</tr>
<tr>
<td>This objective is about the council’s role as a leading agency in the city.</td>
</tr>
<tr>
<td><strong>Related Bristol Equality Charter commitments</strong></td>
</tr>
<tr>
<td>As an organisation we will</td>
</tr>
<tr>
<td>• Share good equality practice and improve outcomes for all those living, working, studying in or visiting Bristol</td>
</tr>
<tr>
<td><strong>Why this matters</strong></td>
</tr>
<tr>
<td>Ensuring that all communities share in the city’s success is a core part of the vision set out in our Corporate Strategy. Many of the challenges we face need action by a range of players and the council has a leading role to play in bringing together agencies across the private, public and voluntary sectors to tackle inequalities and exclusion across Bristol.</td>
</tr>
<tr>
<td><strong>What we are doing and will be doing in future</strong></td>
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<tr>
<td>• Working with partners to develop a new approach to city governance via the One City Approach and the production of the One City Plan both of which will place inclusivity at their core</td>
</tr>
<tr>
<td>• With our partners, developing and implementing the emerging One City Plan; as the One City Approach develops we will update the actions and measures against this objective</td>
</tr>
<tr>
<td>• Launching the Bristol Equality Charter and participating in the Bristol Equality Network that will support effective implementation of the Charter</td>
</tr>
<tr>
<td>• Becoming a <a href="#">fully accredited Living Wage Employer</a></td>
</tr>
<tr>
<td>• Working with the council-commissioned Voice and Influence Partnership to build mechanisms for a diversity of less well heard community voices to be more clearly heard and for their input to influence decision making.</td>
</tr>
<tr>
<td>• Helping to maximise the impact of city-wide equality networks and groups; for example by helping to align the priorities of the Race Equalities Strategic Leaders</td>
</tr>
</tbody>
</table>
Group and Race Commission

- Working with partners to ensure we continue to support Bristol as a City of Sanctuary, as set out on our strategy for welcoming refugees and asylum seekers

**Inter-action with other plans and organisations**

One City Plan and partners  
Equality Charter  
Corporate Plan  
Race and Women’s Commissions  
Bristol Manifesto for Race Equality Strategic Leaders Group  
Voice and Influence Partnership  
Bristol Equality Network

**Measures**

- Reduction in the gap between employment rates for different equalities groups, and those for the population as a whole  
- Median household incomes in wards with the lowest average incomes are moving closer to the average for the city as whole  
- Reduction in the gap between children in the 30% most deprived ‘Super Output Areas’ achieving a good level of development at Early Years Foundation stage compared to those not in the most deprived areas  
- An increase in the proportion of looked-after children who meet and exceed their educational achievement outcomes.  
- A reduction in the number of homeless households and rough sleepers.  
- Reduction in the gap between disadvantaged pupils (including pupils with special educational needs, disabilities and children in care) and the Bristol Average at Key Stage 4.  
- A reduction in the difference between high performing and poorly performing areas in the number of unemployed people.  
- A reduction in the proportion of young people who are not in education, employment or training  
- An increase in the proportion of residents in deprived areas who have access to the internet at home via home broadband, mobile phone or mobile broadband.  
A reduction in the gap in life expectancy for men and women between the most deprived and least deprived areas
### Objective 5

#### Equality Objective

Progressive building of good relationships between different communities in Bristol so everyone is able to participate and contribute.

This objective is about the council’s role in the community.

#### Related Bristol Equality Charter commitment

As an organisation we will:
- Play our part in promoting good relations between people from different backgrounds

#### Why this matters

We cannot tackle inequalities and exclusion without fostering good relations between people with different backgrounds. Empowering communities and supporting them to become more resilient and connected is a core goal of our Corporate Strategy.

#### What we are doing and will be doing in future

- Develop an ‘inclusive communities’ approach in the way BCC and partners work in and with place based communities to build more welcoming and inclusive places to live.
- Deliver and build on projects such as Everyday Integration, Inclusive Cities & City of Sanctuary.
- Work with Bristol Ageing Better to help create Age Friendly Streets
- Work with partners in 10 neighbourhoods across Bristol to build communities – facilitating connections between neighbours and communities who may not otherwise come together to take action on shared interests.
- Collaborate with others to create spaces for sharing knowledge, insight and experience between place based communities and communities of interest to build alliances and understanding.
- Promote and celebrate Bristol’s diversity and cultural heritage by supporting community-led initiatives, e.g. Black History Month, Pride, and the International Day of Disabled People.
Our actions to meet this objective will be updated and amplified once our
neighbourhoods and communities’ service plan has been finalised, following a
significant reshaping of this area of our work.

**Inter-action with other plans and organisations**

Corporate strategy
Quality of Life Survey
Race and Women’s Commissions
Bristol Manifesto for Race Equality Strategic Leaders Group
Voice and Influence Partnership
VOSCUR
Locality
Neighbourhood-level community partners

**Measures**

- Reduce % living in the most deprived areas who lack information to get
  involved in the community
- An increase in the proportion of residents who report they see friends and
  family as often as they like.
- Reduce % living in the most deprived areas who feel ‘fear of crime affects my
  day to day life’
- Narrowing of the gap between the proportion of residents in the most deprived
  areas who report that people in their area from different backgrounds get on
  well and the proportion in the city as a whole
- Increase % satisfied (in deprived areas) with the range and quality of outdoor
  events
- Reduction in proportion of residents who report experiencing discrimination or
  harassment in the past year.
- Increase % of people in the most deprived areas who are satisfied with their
  local area
Annex 1: Bristol Equality Charter

The Bristol Equality Charter is a multi-agency initiative involving public, private and voluntary sector organisations that are pledging themselves to advance equality in the city. The council is one of the founder signatories. The Bristol Equality Network has grown out of the work of creating the Charter and brings together equality leads from the Charter signatory organisations.

The text of the charter is below.

‘Everybody counts - a pledge for equality across Bristol

Bristol is a vibrant city with a growing diverse population. We share an ambition to create a fairer, safer, accessible and inclusive city where everyone feels they belong, has a voice and an equal opportunity to succeed and thrive.

We are committed to making a real difference by

- Making Bristol a welcoming city where everyone feels they belong
- Inspiring trust and confidence in all the city has to offer
- Recognising, valuing and celebrating diversity
- Building good relations and understanding between people
- Promoting inclusion, participation and equal access
- Challenging discrimination, harassment, bullying, hate crime and victimisation

As an organisation we will

✓ Recognise, support and empower those responsible for promoting equality in our organisation
✓ Listen to and understand the diverse needs of all people to make our information, services and products more accessible and inclusive
✓ Review the diversity of our workforce in order to identify areas for improvement and set ourselves equality goals
✓ Ensure that equal opportunities are integral to how we recruit and treat our workforce
✓ Address all allegations of discrimination, harassment, bullying and victimisation in an effective and timely manner
✓ Play our part in promoting good relations between people from different backgrounds
✓ Share good equality practice and improve outcomes for all those living, working, studying in or visiting Bristol
✓ Measure and share our progress and success’
Annex 2: Bristol's communities

[A brief section of demographic data about the make-up of Bristol’s communities will go here]
Annex 3: Terminology

Accessible communications means communications that can be understood by all members of the community, including Deaf and disabled people and people who use English as a second language.

An asylum seeker is a person who has sought protection as a refugee, but whose claim for refugee status has not yet been assessed.

BAME stands for black, Asian and minority ethnic and is used to refer to members of non-white communities in the UK.

Carer is someone who provides support, unpaid, for a friend or family member who needs support owing to disability, illness, or for another reason such as an addiction.

Disability Bristol City Council has adopted the social model of disability which defines it as the effect of the barriers, discrimination and disadvantages faced by disabled people, not the impact of their specific impairment. The Equality Act 2010, defines it is a physical or mental impairment that has a substantial and long-term negative effect on a person’s ability to do normal daily activities.

Diversity is about recognising the many ways in which people are different from each other and the impact these differences can have on the opportunities people have. These differences go beyond the Equality Act protected characteristics and include class and family background.

Employment rate: The number in employment expressed as a percentage of everyone in that age group (in this case, all those of working age).

Equality is about recognising and respecting differences, including different needs, to ensure people can live their lives free from discrimination, know their rights will be protected, and have what they need to succeed in life. It is about ensuring equality of opportunity by tackling the barriers that some groups face, and making society fairer by narrowing the social and economic divides that separate people. The characteristics protected by equality legislation are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and/or belief, sex and sexual orientation.

Food poverty means that an individual or household isn’t able to obtain healthy, nutritious food, or can’t access the food they would like to eat. It often results in people eating poor diets, which can lead to heart disease, obesity, diabetes and cancer, as well as inadequate levels of many vitamins and minerals.
Fuel poverty: Households that spend more than ten per cent of their income on fuel to maintain a satisfactory heating regime, as well as meeting their other fuel needs (lighting and appliances, cooking and water heating).

Hate crime is any crime that is targeted at a person because of hostility or prejudice towards that person’s actual or perceived disability, race or ethnicity, religion or belief, sexual orientation or trans identity. This can be committed against a person or property. The Law Commission is reviewing whether the law should be amended to treat crimes caused by misogyny as hate crimes.

Homelessness is the state of lacking a place to live that is supportive, affordable, decent and secure. While rough sleepers are the most visible homeless population, most homeless people live in hostels, squats, bed and breakfasts or in temporary and insecure conditions with friends and family.

Inclusive design creates environments that everyone can use to access and benefit from the full range of opportunities available in society. It enables people to participate, confidently, independently and with choice and dignity. Inclusive design avoids separation or segregation and is made up of places and spaces meet the needs of everyone in society.

Inclusion means taking active steps to create equality, ensuring equal access and opportunity for all and tackling discrimination and injustice. It is also about ensuring that people feel they belong, and are encouraged and equipped to connect with others and to contribute to the life of the city.

Pay gap is the difference between the average hourly pay of two different groups of people, for example men and women, or groups from different ethnic backgrounds.

Protected characteristics are the nine characteristics protected under the Equality Act 2010. They are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

Poverty is defined relative to the standards of living in a society at a specific time. People live in poverty when they are denied an income sufficient for their material needs and when these circumstances exclude them from taking part in activities that are an accepted part of daily life in that society.

A refugee is someone who ‘owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group, or political opinion, is outside the country of his nationality, and is unable to or, owing to
such fear, is unwilling to avail himself of the protection of that country…’ (1951 Refugee Convention)

**Social integration** is the extent to which people interact and connect with others who are different to themselves and is determined by the level of equality between people, the nature of their relationships, and their degree of participation in the communities in which they live.

**Socio-economic duty** is covered by Section 1 of the Equality Act 2010, which is not currently in force. It would require a public body ‘when making decisions of a strategic nature about how to exercise its functions, [to] have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage’.

**Socio-economic status** or National Socio-Economic Classification (NS-SEC) is formally defined as a proxy measure for social class, produced since 2001 by the Office for National Statistics, that is based on a person’s occupation.
Step 1: What is the proposal?

Please explain your proposal in Plain English, avoiding acronyms and jargon. This section should explain how the proposal will impact service users, staff and/or the wider community.

1.1 What is the proposal?

The proposal is to update Bristol City Council’s Equalities and Inclusion Policy and Strategy.

This new policy and strategy will help us to fulfil and go beyond our Public Sector Equality Duty to achieve our ambition to create a fairer, safer, accessible and inclusive city where everyone feels they belong, has a voice and an equal opportunity to succeed and thrive.

We recognise that as a council our current approach to corporate equalities needs strengthening. Following the recent Safeguarding Adult Reviews (SARs) and Safer Bristol’s Ebrahimi report we also know that we need to do more to challenge unconscious bias, racism and discrimination.

The updated Policy sets out our approach and emphasises the role that everyone working for the council has to play in promoting equality, diversity and inclusion.

The updated Strategy identifies our equality and inclusion objectives for the next four years, what we will do to achieve them, and how we will measure our success.

Each year we will agree a corporate action plan setting out in more detail what we are doing to work towards each objective. Our equalities and inclusion
Step 2: What information do we have?

Decisions must be evidence-based, and involve people with protected characteristics that could be affected. Please use this section to demonstrate understanding of who could be affected by the proposal.

2.1 What data or evidence is there which tells us who is, or could be affected?

**Bristol City Council:**

The Public Sector Equality Duty requires all public authorities to publish data on the equalities profile of their workforce. BCC has workforce diversity statistics for Age; Disability; Gender; Ethnicity; Religion / Belief; and Sexual Orientation broken down by applications received; applicants shortlisted; job offers; employees in post; employees in post by salary; training received; acting-ups / secondments; grievances; disciplinaries; leavers; leavers by reason.

Key findings from HR information analysis:

**Recruitment**
We are attracting large numbers of BME and young applicants but they are not getting shortlisted or job offers at the same rate as employees who are not in these groups.

**Disabled employees**
There is a wide variance between the directorates for the percentage of disabled employees.

**Salary**
The number of female and BME employees on lower salary brackets is disproportionately high.

**Fixed term contracts**
Younger and BME employees are more likely to be employed on fixed term contracts than non-BME employees.

**Religion / Belief**
The number of employees declaring themselves as having no religion or belief has increased rapidly over the last five years.

**Sexual orientation**
The number of employees declaring themselves as LGBT has been increasing over the last five years.

BCC workforce diversity data¹:

### AGE GROUPS

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### DISABLED EMPLOYEES

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### ETHNICITY

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### RELIGION / BELIEF

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¹ From BCC Diversity Dashboard June 2018
SEXUAL ORIENTATION

<table>
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<tr>
<th></th>
<th>Head-count</th>
<th>Heterosexual</th>
<th>LGB</th>
<th>Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No</td>
<td>%</td>
<td>No</td>
<td>%</td>
</tr>
<tr>
<td>Bristol City Council</td>
<td>6279</td>
<td>2061</td>
<td>50.6</td>
<td>1656</td>
</tr>
<tr>
<td>Bristol Economically Active Citizens (Census 2011)</td>
<td>45</td>
<td>42</td>
<td>7</td>
<td></td>
</tr>
</tbody>
</table>

Bristol Citizens

Bristol Joint Strategic Needs Assessment (JSNA)² and citywide data available from Open Data Bristol³ shows that Bristol is a thriving and diverse city, but its success is not shared by everyone, and inequality is growing. A quarter of Bristol’s children grow up in poverty, and the city has 42 neighbourhoods ranked in the most deprived 10% in England. Life expectancy is 9.6 years lower for men and 7.0 years lower for women in the most deprived areas of Bristol than in the least deprived areas.

State of Bristol – Key Facts 2017-18⁴ provides a summary of the city demographics including that:

- The population of Bristol has become increasingly diverse and some local communities have changed significantly. There are now at least 45 religions, at least 180 countries of birth and at least 91 main languages spoken.
- The proportion of the population who are not ‘White British’ increased from 12% (2001) to 22% (2011)
- Bristol has a relatively young age profile with more children aged 0-15 than people aged 65 and over. The median age of people living in Bristol is 33 years old, compared to 40 years in England and Wales.

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³ https://bristol.opendatasoft.com/pages/home/
⁴ https://www.bristol.gov.uk/documents/20182/32947/State+of+Bristol+Key+Facts+2017-18/94b14c82-b664-0f5f-4487-8623f4be9ae6

Page 47
2.2 Who is missing? Are there any gaps in the data?

There are gaps in our diversity data for some protected characteristics citywide, especially where this has not historically been included in census and statutory reporting e.g. for sexual orientation.

We also know there are some gaps in our workforce diversity information - especially where personal and confidential information is voluntarily requested from staff. A new refresh of personal data will be launched in November 2018.

2.3 How have we involved, or will we involve, communities and groups that could be affected?

The development of this policy and strategy has been informed by an independent review of Bristol City Council’s equality and diversity which took place in Spring 2018. This review included:

- A review of policies, structure and roles of teams/posts with an equality brief.
- One to one conversations with 15 key individuals, ranging from members, including the Deputy Mayor, key staff with an equality and diversity brief across the Council, representatives from BCC staff led equality groups, a union representative, and representatives from the Race and Women’s Commissions.
- 44 responses from an online survey asking for feedback on key issues of concern, barriers to progress and ideas for improvement.
- Feedback from a stakeholder meeting, attended by 31 people, including the Mayor. Participants at the meeting were asked to reflect on key emerging themes and recommendations, and raise any other issues.
- A review of equality and diversity polices from other local authorities, including core cities, Camden and Birmingham, other practice in civil service and the higher education sector.

In September 2018 we met with key external stakeholders to provide a full update on the process of drafting our new Equalities and Inclusion policy and strategy, and to discuss the next steps in working together to develop our equality and diversity culture. We held a follow-on session in October 2018 to share the draft Policy and Strategy and seek further feedback.

We will continue to engage with our internal and external stakeholders to ensure that this new policy and strategy, plus emerging action plans, are fully integrated into the council’s activities and partnership working.
Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigorous. Please demonstrate your analysis of any impacts in this section, referring to all of the equalities groups as defined in the Equality Act 2010.

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?

The purpose of the policy and strategy is to challenge and address discrimination and inequalities, and promote equality and good relations. At its heart lies the council’s Public Sector Equality Duty to consider how our policies and decisions affect people who are protected under the Equality Act. The strategy is a living document and will be continually monitored and updated to address inequalities and discrimination.

3.2 Can these impacts be mitigated or justified? If so, how?

- We will ensure that the activities and measures that we use to achieve the objectives identified in this proposal are evidenced based.
- The strategy requires a range of activities to be undertaken to ensure that we meet our objectives to become a more inclusive organisation.
- We will work closely with key internal and external stakeholders, including the staff led equality groups, and representative external organisations to ensure we meet the needs of people with protected characteristics.

3.3 Does the proposal create any benefits for people with protected characteristics?

Our refreshed approach will ensure that the council is embracing Public Sector Equality Duty requirements with respect to people with protected characteristics. Focussing on the benefits of inclusion will allow the council to go beyond basic compliance towards delivering good inclusive practice.

By considering socio-economic inequality alongside the protected characteristics recognised by the Equality Act 2010 we will align with emerging good practice that addresses the structural causes of inequality.

3.4 Can they be maximised? If so, how?

The potential benefits of the new Equality and Inclusion policy and strategy can
be maximised through sustained ownership of the equality agenda by the council’s leadership and workforce.

**Step 4: So what?**

The Equality Impact Assessment must be able to influence the proposal and decision. This section asks how your understanding of impacts on people with protected characteristics has influenced your proposal, and how the findings of your Equality Impact Assessment can be measured going forward.

<table>
<thead>
<tr>
<th>4.1 How has the equality impact assessment informed or changed the proposal?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consideration of the potential impact of council activities on people with protected characteristics has been central to the development of the Equality and Inclusion Policy and Strategy.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4.2 What actions have been identified going forward?</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Equality Act 2010 (Specific Duties) Regulations 2011 require public bodies to prepare and publish one or more objectives it thinks it should achieve to do any of the things mentioned in the requirements of the Public Sector Equality Duty at least every 4 years.</td>
</tr>
<tr>
<td>We will fulfil this duty by updating the Equality and Inclusion strategy and action plans in alignment with the council’s Corporate Strategy.</td>
</tr>
<tr>
<td>Additionally we will:</td>
</tr>
<tr>
<td>• Strengthen the core equalities team in policy and strategy and devise closer working arrangements with the Diversity and Inclusion team in HR</td>
</tr>
<tr>
<td>• The Head of Paid Service will become our Senior Equality and Inclusion Champion</td>
</tr>
<tr>
<td>• Equality and Inclusion will be a regular item at Corporate Leadership Board</td>
</tr>
<tr>
<td>• Equality and Inclusion Champions will be identified on each directorate EDM to lead directorate level equalities action plan</td>
</tr>
<tr>
<td>• Identify service level champions to ensure robust equality impact assessments</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4.3 How will the impact of your proposal and actions be measured moving forward?</th>
</tr>
</thead>
</table>
| Each service area will identify local equalities risks and priorities and create an
annual action plan for addressing them with appropriate performance indicators.

<table>
<thead>
<tr>
<th>Service Director Sign-Off:</th>
<th>Equalities Officer Sign Off:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Duncan Fleming</td>
</tr>
<tr>
<td>Date:</td>
<td>Date: 10/10/2018</td>
</tr>
</tbody>
</table>
Decision Pathway – Report Template

PURPOSE: For reference

MEETING: OSMB
DATE: 25 October 2018

<table>
<thead>
<tr>
<th>TITLE</th>
<th>Quarterly Performance Process (&amp; Report for Quarter 1 2018/19)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ward(s)</td>
<td>All wards</td>
</tr>
<tr>
<td>Author: Mark Wakefield</td>
<td>Job title: Service Manager – Insight, Performance &amp; Intelligence</td>
</tr>
<tr>
<td>Cabinet lead: Cllr Cheney</td>
<td>Executive Director lead: Mike Jackson</td>
</tr>
<tr>
<td>Proposal origin: BCC Staff</td>
<td></td>
</tr>
<tr>
<td>Decision maker: Officer</td>
<td></td>
</tr>
<tr>
<td>Decision forum: Officer Meeting</td>
<td></td>
</tr>
<tr>
<td>Timescales: Performance is reported as part of an ongoing quarterly governance process as soon as possible after gathering all the necessary information.</td>
<td></td>
</tr>
</tbody>
</table>

Purpose of Report:
1) To describe the principles and practice currently in place to report performance to officers, the executive members and scrutiny across the organisation. (Summarised in Appendix A1)
2) To brief OSMB on the progress made by all directorates against their Key Performance Indicators (KPIs) and project measures for Q1 2018/19 (Appendix A2) – designed around the themes in the Corporate Strategy and Business Plans.

Evidence Base:
The adoption of the corporate strategy 2018-23 by full council in February 2018 was followed by the development of a set of business plans for 2018/19 for the delivery of the strategy. This process included working with Executive Directors, Service Directors and the Cabinet members to ensure delivery priorities we captured and included. This process also proposed and iterated a set of Key Performance Indicators which were designed to demonstrate noticeable impact for citizens. These were published in the Business Plan 2018/19.

The presentation attached as Appendix A1 sets out the principles in forming the current performance process, and how it currently operates, including to directorate scrutiny commissions.

The key features of the process are intended to align leadership effort as much as possible on the same objectives as described in the corporate strategy, and to maximise the efficiency of the process by ensuring similar leadership levels in the organisation gain the same understanding of performance through the same reports where appropriate.

The key reporting products are separated into 3 levels. The strategic focus consists of the 83 KPIs in the Business Plans – half of these are available quarterly, the rest report at one point during the year and are included in the quarter they become available. This overview report is presented to SPB/CLB and Cabinet. The directorate leadership (EDM) report, consists of those strategic level KPIs relevant to their directorate, plus a small number of indicators which are more granular or contributory indicators to the overall aim. This is shared with EDM, Cabinet Leads for the relevant directorate, and the directorate scrutiny commission. Each service has an even more detailed set of KPIs – which consist of the relevant higher level ones plus local management indicators including inputs as well as outputs.

Approximately 6 weeks after the end of each quarter, the data and management commentaries are collated and presented to management teams. Following the tabling at cabinet for information, the reports are then available to scrutiny commissions as they fall due.
Changes to priorities identified during the budget setting process for 2019/20 will provide an opportunity to consider which KPIs need amending for next municipal year, and in which products.

**Cabinet Member / Officer Recommendations:** That OSMB consider whether they wish to receive the quarterly report tabled for Statutory Policy Board/CLB and Cabinet. Whether the directorate scrutiny commissions should continue to receive the relevant performance report of the directorate management team and cabinet leads. To comment on other information that OSMB would like developed.

Also, in relation to actual Q1 performance, that the performance report be noted, and measures to address performance issues are considered and implemented by relevant services.

**Corporate Strategy alignment:** All BCP PIs contained within Appendix A2 are designed to demonstrate our progress towards the Corporate Strategy (2018/23).

**City Benefits:** Understanding whether BCC is delivering outcomes for the citizens and city ensures organisational effort can be focussed on benefit realisation.

**Consultation Details:** The performance process itself was agreed by SPB in May 2018. Performance progress in Q1 has been presented to relevant DMTs, EDMs and CLB prior to the production of this report.

<table>
<thead>
<tr>
<th>Revenue Cost</th>
<th>£0</th>
<th>Source of Revenue Funding</th>
<th>Insert specific service budget</th>
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</thead>
<tbody>
<tr>
<td>Capital Cost</td>
<td>£0</td>
<td>Source of Capital Funding</td>
<td>e.g. grant/ prudential borrowing etc.</td>
</tr>
<tr>
<td>One off cost</td>
<td>☐</td>
<td>Ongoing cost ☐</td>
<td>Saving Proposal ☐</td>
</tr>
</tbody>
</table>

**Required information to be completed by Financial/Legal/ICT/ HR partners:**

1. **Finance Advice:** There are no specific financial implications as part of the report.

   **Finance Business Partner:**

   2. **Legal Advice:** There are no specific legal implications in this report.

   **Legal Team Leader:**

   3. **Implications on IT:** None

   **IT Team Leader:**

   4. **HR Advice:** There are no direct implications for HR.

   **HR Partner:**

   | EDM Sign-off | ALL | 8/8/2018 |
   | Cabinet Member sign-off |  |  |
   | CLB Sign-off | 3/9/2018 |
   | For Key Decisions - Mayor’s Office sign-off | [name] | [date] |

**Appendix A – Further essential background / detail on the proposal**

- Appendix A1: Performance Process 2018 presentation
- Appendix A2: Performance Progress Update (Q1 2018/19)

**Appendix B – Details of consultation carried out - internal and external**

**Appendix C – Summary of any engagement with scrutiny**

**Appendix D – Risk assessment**

**Appendix E – Equalities screening / impact assessment of proposal**

**Appendix F – Eco-impact screening / impact assessment of proposal**

**YES**

**NO**
<table>
<thead>
<tr>
<th>Appendix</th>
<th>Description</th>
<th>NO</th>
</tr>
</thead>
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<tr>
<td>G</td>
<td>Financial Advice</td>
<td></td>
</tr>
<tr>
<td>H</td>
<td>Legal Advice</td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>Combined Background papers</td>
<td></td>
</tr>
<tr>
<td>J</td>
<td>Exempt Information</td>
<td></td>
</tr>
<tr>
<td>K</td>
<td>HR advice</td>
<td></td>
</tr>
<tr>
<td>L</td>
<td>ICT</td>
<td></td>
</tr>
</tbody>
</table>
Performance Reporting Process
2018/19
Principles of the Performance Framework

- Adapts to level of detail relevant to each audience
- Focussed on the corporate strategy & business plan
- Demonstrates impact on Key Commitments for citizens
- Annual measures augmented by quarterly indicators of progress
- At more detailed levels, indicators of progress increase
- Management teams see the same indicators as cabinet leads and scrutiny to promote a common overview of the subject and reduce duplication and re-work.
Our Key Commitments

Empowering and Caring:
- Give our kids the best start in life by protecting and developing children’s centre services, being great corporate parents and protecting children from exploitation or harm.
- Prevent people becoming homeless and reduce the overall level of homelessness, with no-one needing to spend a ‘second night out’.
- Provide ‘help to help yourself’ and ‘help when you need it’ through a sustainable, safe and diverse system of social care and safeguarding provision, with a focus on early help and intervention.
- Prioritise community development and enable people to support their community.

Fair and Inclusive:
- Make sure that 2,000 new homes – 800 affordable – are built in Bristol each year by 2020.
- Improve educational outcomes and reduce educational inequality, whilst ensuring there are enough school places to meet demand and a transparent admissions process.
- Develop a diverse economy that offers opportunity to all and makes quality work experience and apprenticeships available to every young person.

Well Connected:
- Improve physical and geographical connectivity; tackling congestion and progressing towards a mass transit system.
- Make progress towards being the UK’s best digitally connected city.
- Reduce social isolation and help individuals and communities participate in the city.

Wellbeing:
- Improve physical & mental health and wellbeing, reduce inequalities in health and consider health in all our policies.
- Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.
- Tackle food and fuel poverty.
- Keep Bristol a leading cultural city, helping make culture, sport and play accessible to all.

Resources
Policy & Strategy – Insight, Performance & Intelligence
Hierarchy of Performance indicators

Corporate Strategy – Impact on Citizens

Directorate Contributors & Lead Indicators

Divisional Contributors & Local Management Indicators

CLB See:
Corporate measures of success for all Directorates

EDM see:
All the Corporate measures of success for the Directorate plus leading/supporting indicators

DMTs see
Relevant Corporate measures of success and supporting indicators for directorate, plus Service Directors agreed measures of success for their teams

Corporate measures of success
Leading/Supporting measures of success
Divisional measures of success

Resources

Policy & Strategy – Insight, Performance & Intelligence
Quarterly Performance Reporting Process

BCC Performance

CLB

Outcome Measures for Citizens
Theme Overview
Escalation
Solution Overview

OSMB

Cabinet

Directorate Cabinet Leads

Directorate Scrutiny Commission

Directorate Performance

EDM

Outcome and supporting Measures
Target Review
Solution Review
Commentary Review

Service Performance

DMT

Input & Output Measures
Team Level Detail
Target Setting
Problem identification
Action Plan
Commentary

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Resources
Policy & Strategy – Insight, Performance & Intelligence
Quarter 1 2018/19 – Thematic Overview

Performance summary:
Taking the total available KPI results this quarter,
- Just over half (55%) of those with established targets are performing on or above target and,
- Two thirds of those with a direct comparison from 12 months ago have improved.

Corporate Strategy Themes:
Empowering & Caring: There have been good improvements to the timeliness of reviews in our corporate parenting duties, although looked after children reviews are still below target. In adult social care, home adaptations have increased and the number of people maintaining their independence in their own homes is better than target. Independent living in one’s own home is further evidenced by an increase to the proportion of people successfully rehabilitated after a hospital stay. The indicators around homelessness have deteriorated when compared to the same period 12 months ago.

Fair & Inclusive: We have achieved a significant increase in care leavers entering employment education or training – this statutory KPI is now almost reaching our target. For the population of 16-17 year olds generally, there is a drop in performance due to “unknown” destinations – this is a consequence of the new IT system and data quality efforts are underway to improve this for future reports. The BCC apprenticeship scheme indicators are below target. Affordable housing delivery shows a real challenge.

Wellbeing: We can see good improvement and are meeting our targets in relations to tourism, and visits to key attractions in the city. The same positive picture is evident in physical activity, with overall numbers attending leisure centres and swimming pools higher than 12 months ago.

A step change in the use of landfill is evident, with only 15% of residual waste going to landfill down from 20% last year. Household recycling however, is not meeting the target.

Well Connected: Significant increases on both park and ride (up 9%), and standard bus passenger journeys (up 13%) compared to a year ago. Men accessing community learning has also increased, although not yet meeting the target.

Attention is drawn to the comment on the annual KPI on cycling – there is evidence of a slowdown in growth.

Organisational Priorities: The recent improvements to FOI and complaint timeliness have continued this quarter, although still below target. Whilst non-domestic rate collection is ahead of target and higher than at this stage last year, the opposite is true in council tax, thought to be a result of 12 monthly instalments becoming available.

Staff sickness has deteriorated and is worse than target.

For all themes, attention is drawn to the commentaries on annual indicators where the service has indicated exception in delivery, and/or details of plans and activities underway.
### Business Plan 2018/19 - Performance Reporting - EMPOWERING AND CARING

<table>
<thead>
<tr>
<th>Corp Plan KC Ref</th>
<th>Code</th>
<th>Title</th>
<th>2017/18 Outturn</th>
<th>2018/19 Target</th>
<th>Q1 Progress</th>
<th>Comparison over last 12 months</th>
<th>Comments</th>
<th>Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC1</td>
<td>BCP212</td>
<td>Reduce the number of adolescents (aged 13-17) who need to enter care due to abuse or exploitation</td>
<td>n/a</td>
<td>Establish Benchmark</td>
<td>6</td>
<td>17 children aged 13 or over started care between 01 Apr 18 and 30 Jun 18. Of these, 6 had category of need = N1 (abuse and neglect) on the date of care start. Whilst not a performance indicator last year; the records show at the same time last year there were 35 children aged 13 or over who started care and 10 of these had a category of N1. This drop is a direct result of the Strengthening Families programme of work.</td>
<td>ACE</td>
<td></td>
</tr>
<tr>
<td>EC1</td>
<td>BCP216</td>
<td>Increase the percentage of looked after children cases which were reviewed within required timescales</td>
<td>81.8%</td>
<td>97.0%</td>
<td>85.3%</td>
<td>In the period 01 Jul 2017 to 30 June 2018, 529 out of 620 Looked After Children had all their Reviews within time scales. On-going work being undertaken to ensure evidence of a completed review is on LCS database. Monthly auditing is undertaken to check what number of reviews were actually late compared to those that are recorded as late.</td>
<td>ACE</td>
<td></td>
</tr>
<tr>
<td>EC1</td>
<td>BCP217</td>
<td>Increase the percentage of child protection cases which were reviewed within required timescales</td>
<td>90.0%</td>
<td>95.0%</td>
<td>95.7%</td>
<td>In the period 01 Jul 2017 to 30 Jun 2018, 199 out of 208 CP children had their reviews completed on time. Monthly audits are undertaken to review why any reviews have been late and learn from this as necessary.</td>
<td>ACE</td>
<td></td>
</tr>
<tr>
<td>EC2</td>
<td>BCP352b</td>
<td>Number of people sleeping rough on a single night in Bristol - BCC quarterly Count</td>
<td>66</td>
<td>60</td>
<td>83</td>
<td>The Social Impact Bond, No First Night Out and Controlling Migration Projects are established to help people off the streets. 23 beds have been provided through temporary use of BCC buildings. There is a 20 bed commissioned assessment centre alongside coordinated links to three volunteer run shelters. High demand for supported accommodation and difficulty moving people on into the social and private sectors means that people wait over three months to move into supported accommodation. We hope the MHCLG (Ministry of Housing, Communities and Local Government) funding to reduce rough sleeping and assist in move on will have an impact this coming winter.</td>
<td>Comm</td>
<td></td>
</tr>
<tr>
<td>EC2</td>
<td>BCP354</td>
<td>Increase number of homeless households helped by housing advice service to prevent homelessness</td>
<td>22.05</td>
<td>24</td>
<td>6.03</td>
<td>There have been delays in commissioned services sending in returns for preventing homelessness which is being addressed. However this challenging target has just been met in Q1.</td>
<td>Comm</td>
<td></td>
</tr>
<tr>
<td>EC2</td>
<td>BCP356</td>
<td>Number of households who were in Temporary Accommodation for more than 6 months</td>
<td>287</td>
<td>260</td>
<td>261</td>
<td>Housing Options have focussed on moving &quot;long stayers&quot; out of temporary accommodation. Maintaining the level of direct offers from BCC Landlord Services and targeting households in TA has contributed to meeting this target in Q1.</td>
<td>Comm</td>
<td></td>
</tr>
<tr>
<td>EC3</td>
<td>BCP276a</td>
<td>Reduce the permanent admissions aged 65+ to residential and nursing care, per 100,000 population</td>
<td>849.4</td>
<td>820</td>
<td>854.4</td>
<td>509 / 59,571 = 854.4 As part of the Better Lives Programme there are demand management plans to divert the number of new placements in a residential and nursing setting through an improved tier 1 &amp; 2 offer, expansion of homecare capacity and ensuring that discharge from hospital is not assumed to be to a care bed.</td>
<td>ACE</td>
<td></td>
</tr>
<tr>
<td>EC3</td>
<td>BCP278</td>
<td>Increase the percentage of older people at home 91 days after discharge from hospital into reablement / rehabilitation *</td>
<td>87.3%</td>
<td>88.0%</td>
<td>87.3%</td>
<td>This indicator is on target for 18/19 and improved on Q1 17/18. The 49 people who were not at home have not yet been checked by the service. It is usual that some people may be found to be temporarily not at the home address on that particular day eg holiday, however it remains their main place of residence. This indicator may improve further after checks are made.</td>
<td>ACE</td>
<td></td>
</tr>
</tbody>
</table>
### Comparison

#### 2018/19

<table>
<thead>
<tr>
<th>KC Ref</th>
<th>Code</th>
<th>Title</th>
<th>2017/18 Outturn</th>
<th>2018/19 Target</th>
<th>Q1 Progress</th>
<th>Comparison over last 12 months</th>
<th>Comments</th>
<th>Directorate</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC3</td>
<td>BCP280</td>
<td>Increase the percentage of people who contact Adult Social Care and then receive Tiers 1 &amp; 2 services</td>
<td>n/a</td>
<td>Establish Benchmark</td>
<td>50.6%</td>
<td></td>
<td>As part of the Better Lives Programme we are aiming to increase the numbers of people who receive an improved service at Tier 1 and Tier 2 levels and reduce the numbers who receive a service at Tier 3. This will maintain more people in their own homes and in time reduce reliance on residential and nursing care.</td>
<td>ACE</td>
</tr>
<tr>
<td>EC3</td>
<td>BCP307</td>
<td>Number of disabled people enabled to live more independently through home adaptations</td>
<td>2,373</td>
<td>2,450</td>
<td>650</td>
<td></td>
<td>Performance slightly ahead of target with the number of referrals into Care Direct being at the predicted level, which is likely to continue for the remainder of the year. Performance against target should continue at this level going forward.</td>
<td>Comm</td>
</tr>
</tbody>
</table>

### Business Plan 2018/19 - Performance Reporting - FAIR AND INCLUSIVE

#### F1 BCP310

Increase the number of private sector dwellings returned into occupation

- 2017/18 Outturn: 381
- 2018/19 Target: 480
- Q1 Progress: 210

Currently well ahead of target as a result of focussed action on long term empty properties. The likelihood is that performance will reduce in quarters 3 and 4 as focussed enforcement action reduces officer availability.

Directorate: Comm

#### F1 BCP425

Increase the number of affordable homes delivered in Bristol

- 2017/18 Outturn: 188
- 2018/19 Target: 240
- Q1 Progress: 18

Schemes delivered in Q1 have been Parcel 4, Imperial Park, Hartcliffe (first 9 units delivered), Butler House, St George (6 units) and Meere Bank, Lawrence Weston (3 units) with the Butler House and Meere Bank units as council homes. The 2018/19 target is building towards the total of 800 affordable homes by 2020 as set out in the Corporate Strategy 2018-23.

Directorate: G&B

#### F1 BCP218

Improve the percentage of 17 - 21 year old care leavers in EET (statutory return - recorded around birthday)*

- 2017/18 Outturn: 57.0%
- 2018/19 Target: 58.0%
- Q1 Progress: 57.0%

There has been significant improvement in engaging care leavers both through the leaving care service and through voluntary agencies. All 16 & 17 year olds who are EET have PEPs to explore options available to them. The Social Impact Bond programme is about to start and will be working with, initially, 30 of our NEET young people, intensively, to further improve education, training and employment for our care leavers. Most recently 55% of our care leavers aged 19 to 21 are EET. There has been an increase in young people remaining in care until they are 18 which may also be having an impact on the increase in EET for our young people.

Directorate: ACE

#### F3 BCP261a

Increase the total number of apprentices employed by Bristol City Council

- 2017/18 Outturn: n/a
- 2018/19 Target: 100
- Q1 Progress: 21

Although recruitment levels of existing and new staff onto apprenticeships have increased and pipeline is looking healthy we will see these starts come to fruition in Sept/October - there are 80+ pending across Business Administration, Health and Social Care, Housing Delivery, Schools and Building Control and Highways. This is the first phase of the Council’s implementation of Apprenticeship Levy recruitment so this first report is being made as part of our ‘set up’ activity.

Directorate: ACE

#### F3 BCP261b

Increase the percentage of BCC apprentices starting apprenticeship training from priority groups

- 2017/18 Outturn: 18.0%
- 2018/19 Target: 24.0%
- Q1 Progress: 18.0%

This is the first year that we are monitoring priority group recruitment in apprenticeships. This Q1 figure reflects current position for benchmarking – and it is anticipated that the final outturn will be 30% based upon targeted recruitment activity and current pipeline activity e.g. Stepping Up programme targeting BAME employees. This is the first phase of the Council’s implementation of Apprenticeship Levy recruitment so this first report is being made as part of our ‘set up’ activity.

Directorate: ACE
### Business Plan 2018/19 - Performance Reporting - WELLBEING

<table>
<thead>
<tr>
<th>Corp Plan KC Ref</th>
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<tbody>
<tr>
<td>Fi3</td>
<td>BCP263a</td>
<td>Reduce the percentage of young people of academic age 16 to 17 years who are NEET &amp; destination unknown</td>
<td>8.6%</td>
<td>8.0%</td>
<td>10.8%</td>
<td>➰</td>
<td>This increase has resulted from bringing our data tracking function 'in house': through tighter data monitoring across teams, this has helped us to identify young people who have previously not been included in our participation data set — including home educated learners and children in care/care leavers. Now that our integrated data system is live, corrective action is underway to update and align data sets. At the same time, a new Participation Work Group has been formed to enable more focused joint analysis of our NEET/Unknown data, to analyse gaps and identify improved provision to increase our participation rates.</td>
<td>ACE</td>
</tr>
<tr>
<td>Fi3</td>
<td>BCP267</td>
<td>Improve the overall employment rate of working age population</td>
<td>77.6%</td>
<td>77.0%</td>
<td>78.2%</td>
<td>➰</td>
<td>This improved position is due to the rise in Bristol's local employment rate (78.2%) — which is the highest rate across all core cities. The development and delivery of targeted employment support services is also impacting – for example in 17/18 BCC ESL supported over 600 people into employment.</td>
<td>ACE</td>
</tr>
</tbody>
</table>

#### W1 BCP279
Improve the monthly Delayed Transfers of Care (DTOC) for Bristol City Council Social Care (Delayed Days per 100,000 population)

- 2017/18 Outturn: 310.9
- 2018/19 Target: 350
- Q1 Progress: 191.4
- Comparison over last 12 months: ➰

(May) This means that 54.3% of all the days delayed was because of BCC Social Care only (BCC also contributed to the shared figure of 5.5%, which were both BCC Social Care & NHS responsibility) and the remaining 40.2% delays was owing to NHS delays. We are working with the newly formed Integrated Care Bureau in each trust to improve Social Care referrals and decision making. We will be launching a new service 'Home First' at the end of October '18 and maximising capacity in our reablement service to enable people to safely return home with support. The Social work assessment will increasingly take place outside of hospital, therefore reducing the overall DTOC figures.

- Directorate: ACE

#### W1 BCP301
Reduce the rate of alcohol-related hospital admissions per 100,000 population

- 2017/18 Outturn: 800
- 2018/19 Target: 770
- Q1 Progress: 775
- Comparison over last 12 months: ➰

There has been a slight decrease in alcohol related hospital admissions in the past 12 months (2,919 admissions in total/755 per 100,000 population in 2017/18 compared to 2,970 in total/757 per 100,000 in 2016/17) indicating below the target trend over the past two years. Total 749 admissions were recorded in the Q1 2017/18; for Q1 2018/19 have not been available for a comparison at the time of the report. (Q1 target 790)

- Directorate: ACE

#### W2 BCP541
Increase the percentage of household waste sent for reuse, recycling and composting

- 2017/18 Outturn: 46.1%
- 2018/19 Target: 48.8%
- Q1 Progress: 46.7%
- Comparison over last 12 months: ➰

Severe heat has impacted slightly on this indicator. Although moving in the right direction, Q1 of any 'waste year' usually over-performs due to compostable element of recycling calculation

- Directorate: RE

#### W2 BCP542
Reduce the percentage of municipal waste land filled

- 2017/18 Outturn: 20.8%
- 2018/19 Target: 15.0%
- Q1 Progress: 15.0%
- Comparison over last 12 months: ➰

Q1 target = 18.5%. New treatment contract operated by BWC since November 2017 has dramatically reduced the tonnage of residual waste being disposed of at landfill

- Directorate: RE

#### W2 BCP543
Improve street and environmental cleanliness (percentage of litter) B+ grade or better

- 2017/18 Outturn: 47%
- 2018/19 Target: 48%
- Q1 Progress: Data not due

No data available for Q1. As there is no reliable audit process to benchmark this indicator against, LEQSE (Local Environmental Quality Survey of England) will be carried out in Q2 to provide actual level of cleanliness.

- Directorate: RE

#### W3 BCP352
Increase the number of 'Bristol Eating Better Awards' issued to food outlets

- 2017/18 Outturn: n/a
- 2018/19 Target: 250
- Q1 Progress: 63

63 outlets have achieved or committed to achieving the award. 3 commitments, 3 bronze, 11 silver, 46 gold. 4 have progressed from silver to gold.

- Directorate: ACE

#### W4 BCP302
Increase the number of attendances at BCC leisure centres and swimming pools

- 2017/18 Outturn: 2,618,977
- 2018/19 Target: 2,659,300
- Q1 Progress: 680,464
- Comparison over last 12 months: ➰

Q1 is up by 33,525 compared to the same period last year. Everyone Active continues to increase attendances whilst Parkwood Leisure (Jubilee Pool) have seen a c.13% decrease in attendances over the past two years. Hengrove Leisure Centre attendances (Parkwood Leisure) remain steady.

- Directorate: ACE

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<table>
<thead>
<tr>
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<tbody>
<tr>
<td>W4</td>
<td>BCP410</td>
<td>Increase the number of visitors to Bristol Museums, Galleries and Archives</td>
<td>1,043,999</td>
<td>1,000,000</td>
<td>262,993</td>
<td>↑</td>
<td>Performance is 5% above target for Q1 and up 2% of the same time last year when 256,037 visits were recorded.</td>
<td>G&amp;R</td>
</tr>
<tr>
<td>W4</td>
<td>BCP415</td>
<td>Number of tourists to the city</td>
<td>3,955,153</td>
<td>4,000,000</td>
<td>1,179,435</td>
<td>↑</td>
<td>Performance is 17.9% above target with a strong start to the year prior to the main summer season. Performance is also well up on the same period in 2017/18 when 982,675 visits were reported.</td>
<td>G&amp;R</td>
</tr>
</tbody>
</table>

**Business Plan 2018/19 - Performance Reporting - WELL CONNECTED**

| WC1              | BCP474| Number of single journeys on Park & Ride into Bristol               | 1,533,679       | Not set, see note | 398,647     | ↑                            | Park and ride journeys are up 8.9% on the same quarter in 2017/18 when 360,029 single journeys were reported. No target is currently set as this measure is under review as now needs to reflect changes in park and ride services and the introduction of Metrobus routes. | G&R         |
| WC1              | BCP475| Increase the number of passenger journeys on buses                  | 39,676,021      | 39,000,000      | 10,531,560  | ↑                            | The total number of bus passenger journeys for the quarter is 12.5% above target and up 12.98% on the same period in 2017/18 when 9,321,492 journeys were reported.                                              | G&R         |
| WC3              | BCP260a| Increase the percentage of government funded Community Learning learners, progressing to employment | 13.0%           | 17.0%           | 7.0%        | ↓                            | Tracking is partially complete so figure is in line with academic year and expected to increase at the end of the academic year. The final outturn in Q3 is expected to increase after the end of the academic year.                                           | ACE         |
| WC3              | BCP260b| Increase the percentage of MEN engaged in government funded Community Learning (CL) in Bristol | 22.0%           | 30.0%           | 22.0%       |                              | Recruitment of men is lower than expected. This is due to a high proportion of courses run in children’s centres and schools where we engage mothers/carers with significant barriers to learning and work but very few men. The team have established better links with some job centres and this has resulted in higher recruitment of male learners on some courses. We will continue to work on solutions and hope that referrals from Future Bright will have a positive impact. | ACE         |
| WC3              | BCP266| Increase percentage of adults with learning difficulties known to social care, who are in paid employment | 4.8%            | 7.2%            | 7.3%        | ↑                            | 46 of 634. The calculation method for this KPI has changed from 1 April ‘18. This work area has recently been transferred and a new project group has formed to draw up a targeted work plan to drive forward improvements in this area. | ACE         |
| WC4              | BCP410| Increase the number of visitors to Bristol Museums, Galleries and Archives | 1,043,999       | 1,000,000      | 262,993     | ↑                            | Performance is 5% above target for Q1 and up 2% of the same time last year when 256,037 visits were recorded.                                                                                           | G&R         |

**Business Plan 2018/19 - Performance Reporting - WORKPLACE ORGANISATIONAL PRIORITIES**

<p>| WOP1             | BCP523| Maintain staff turnover                                             | 14.6%           | 12.5%          | 15.5%        | ↑                            | Target = 10-15%. Staff turnover has remained fairly consistent with the previous quarter and is a significant improvement compared with Q1 17/18  (20.7%).                                                                 | RE          |
| WOP2             | BCP327| Increase the percentage Corporate FOI requests responded to within 20 working days | 80.5%           | 100.0%         | 76.4%        |                              | Performance has vastly improved compared to 58.5% in Q1 period last year, on top of a 73% increase in volumes of FOI's received. However - the Corporate target of 100% is unrealistic given the complicated nature of some FOI's and the scale of the operation, eg some FOI's are specific to only 1 or 2 people, who may be unavailable in the time given. Due to reasonable exceptions such as these, a realistic challenge target would be 90% (as last year). [Note - the PI was not published in our Business Plan], 83.1% in month 3. | Comm        |
| WOP2             | BCP328| Increase the percentage of stage 1 non-statutory complaints that we respond to within 15 days | 87.00%          | 90.0%          | 83.7%        | ↑                            | Much improved performance against same Q1 period last year (64%), with similar numbers of complaints received. We are performing at close to target. 86.3% in month 3.                                                                 | Comm        |</p>
<table>
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<tr>
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<tbody>
<tr>
<td>WOP2</td>
<td>BCP524</td>
<td>Increase percentage of employees with a completed ‘My Performance’ 17/18 review form (BCC)</td>
<td>48%</td>
<td>100%</td>
<td>13%</td>
<td>→</td>
<td>Directorate Breakdown: RES 12%, CO 22%, ACE 5%, G&amp;R 14%</td>
<td>RE</td>
</tr>
<tr>
<td>WOP3</td>
<td>BCP522</td>
<td>Reduce the average number of working days lost to sickness (BCC)</td>
<td>9.10 days</td>
<td>8.00 days</td>
<td>9.25 days</td>
<td>↓</td>
<td>Sickness is at its highest level since 2010. The directorate breakdown is as follows: RE 6.21 days, CO 10.36 days, ACE 10.61 days, G&amp;R 6.8 days. A number of planned actions have been developed to improve the number of working days lost due to absence including: New enhanced employee assistance programme, mental health and first aid training, regular case management and proactive targeted support for managers and systematic performance reviews.</td>
<td>RE</td>
</tr>
<tr>
<td>WOP3</td>
<td>BCP527</td>
<td>Increase the percentage of employees that live in the 10% most deprived areas</td>
<td>6.2%</td>
<td>Establish benchmark</td>
<td>6.5%</td>
<td>6.49% = 409 employees living in the 10% most deprived areas / £296 headcount as at 30 June 2018. Work is ongoing to review the pay model for BG1-15, which is being developed in consultation with the Unions. Findings will be presented to the HR committee in November.</td>
<td>RE</td>
<td></td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP450</td>
<td>Increase revenue generated from the council’s investment estate</td>
<td>n/a</td>
<td>Establish Benchmark</td>
<td>£163,610</td>
<td>This is a new measure for 2018/19</td>
<td></td>
<td>G&amp;R</td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP501a</td>
<td>Projected forecast outturn as a percentage of approved budget (BCC)</td>
<td>n/a</td>
<td>100.00%</td>
<td>102.2%</td>
<td></td>
<td></td>
<td>RE</td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP501b</td>
<td>Forecast level of reserves against planned level of reserves (BCC)</td>
<td>n/a</td>
<td>£73,800,000</td>
<td>£90,734,000</td>
<td></td>
<td></td>
<td>RE</td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP502</td>
<td>Increase the percentage of invoices paid on time (BCC)</td>
<td>79.87%</td>
<td>96.00%</td>
<td>80.97%</td>
<td>→</td>
<td>Q1 = 81.2%. (RE=83.4%, CO=73.2%, ACE=81.4%, G&amp;R=83.8%). 18.8% of invoices were paid late across the organisation equal to 5,488 invoices. We aim to reach the 96% target by the end of the financial year by a series of ongoing initiatives which should demonstrate ongoing improvement throughout the year.</td>
<td>RE</td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP503</td>
<td>Increase the percentage of Council Tax collected</td>
<td>96.79%</td>
<td>96.80%</td>
<td>28.23%</td>
<td>→</td>
<td>Council Tax collection for April 18 shows as 0.01% ahead of target equivalent to an excess of £31k. The overall target has been increased to 96.8% and therefore slight adjustments have been made to the profile (MS), (April - May) Council Tax collection for May 18 shows a deficit of £37k. The overall target has been increased to 96.8% and therefore slight adjustments had been made, to the profile, at the beginning of the year. This slight dip does not cause concern at this point. (MS), (April - June) Council Tax collection for June 18 shows as 0.23% behind target, equivalent to a deficit of £565k. This represents a increase of £528k on last month’s deficit of £37k. Increased use of our automated online Govtech forms has seen a corresponding increase in citizens opting to pay Council tax over 12 instalments. There are 3,326 more accounts paying by 12 instalments than in the previous year. This will be monitored carefully and our collection profile altered at the end of July if these trends continue.</td>
<td>RE</td>
</tr>
<tr>
<td>WOP4</td>
<td>BCP504</td>
<td>Increase the percentage of non-domestic rates collected</td>
<td>97.93%</td>
<td>98.20%</td>
<td>28.03%</td>
<td>→</td>
<td>Business Rate collection for June 2018 shows as 0.11% ahead of target equivalent to a surplus of £265k. We have reported a reduction of £1.8m in the value of summons for current year to date, in comparison to the same period last year. This can be attributed to a high level of Valuation List changes in April resulting in adjusted instalments starting from a later date.</td>
<td>RE</td>
</tr>
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</tr>
<tr>
<td>F1</td>
<td>DGR340</td>
<td>Net additional homes provided to meet the Core Strategy target</td>
<td>1,640</td>
<td>Target not yet set</td>
<td>Data not due</td>
<td>The figure for 2017/18 will be the last year where delivery against the current adopted Local Plan target will be reported. This measure will be revised during 2018/19 to reflect long-term targets in the new Joint Strategic Plan which covers the period 2016 to 2036 and replaces the current housing target in the adopted Local Plan.</td>
<td>G&amp;R</td>
<td></td>
</tr>
<tr>
<td>F1</td>
<td>BCP230b</td>
<td>KS2 - increase the percentage of disadvantaged pupils, at KS2, achieving the expected standard in RWM</td>
<td>45%</td>
<td>48%</td>
<td>Data not due</td>
<td>Bristol Disadvantage gap showed slight decrease 17/18. The Strategic School Improvement Fund (SSIF) project work has particular focus on reducing disadvantage gap and for 17/18 already showed a decreased gap this year. 2 Pupil Premium conferences focusing on the gap have taken place in Term 4 &amp; 5 of this year and will be a continued focus for 18/19.</td>
<td>ACE</td>
<td></td>
</tr>
<tr>
<td>F2</td>
<td>BCP231d</td>
<td>Key Stage 4: Attainment 8 - Reduce the Points gap between the Disadvantaged and Non-Disadvantaged</td>
<td>15.9 points</td>
<td>15.0 points</td>
<td>Data not due</td>
<td>Reducing the Disadvantage gap continues to be a focus throughout 18/19. A forum of 24 schools in the North West of Bristol (NW24), BCC and the Strategic School Improvement Fund project are collaborating with a National Expert on ‘The Pupil Premium Gap’ and a more aligned approach through the Teaching School offer should offer appropriate support and challenge to schools in improving outcomes for Pupil Premium pupils.</td>
<td>ACE</td>
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<td>W2</td>
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<tr>
<td>W3</td>
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</table>

**Business Plan 2018/19 - Performance Reporting - WELL CONNECTED**

| WC1   | DGR061 | Increase level of cycling across Bristol (baseline 2008/09 = index 100) | 212             | 250           | Data not due | Cycling growth slowed to 5% in 2017/18 from 10% in 2016/17; closures of popular routes (e.g. the Chocolate Path) and continued infrastructure works may have contributed to this, although cycle flows on the Bristol & Bath Railway Path and other off-road routes increased strongly to partially offset other declines. The cycle count is reported annually (at Q1 the following year) and is informed by cordon counts in defined locations and by automatic counters on new cycle infrastructure. | G&R         |

**Business Plan 2018/19 - Performance Reporting - WORKPLACE ORGANISATIONAL PRIORITIES**

| WOP4  | BCP505 | Increase the percentage of procurement spend with 'Small and Medium sized Enterprises' (SME's) | 38.2%           | 40.0%         | Data not due | We are currently confident that the target will be achieved. A number of practical steps have been taken to maximise opportunities for SMEs in the supply chain such as: • early market engagement (and promoting these opportunities to SMEs through our E-procurement solution); • encouraging SMEs to network with prospective bidders (where they can't/won't bid independently); • streamlining the bidding process (to ensure is proportionate to the value and risk of the contract); • using frameworks and DPSs (where appropriate – allowing bidders to bid for smaller contracts); • lotting contracts (where possible); • reducing the turnover cap (applicable to the assessment of financial standing/risk). | RE          |
## Corporate Strategy - Key Commitments

### Empowering & Caring
- **EC1**  Give our children the best start in life by protecting and developing children's centre services, being great corporate parents and protecting children from exploitation or harm.
- **EC2**  Reduce the overall level of homelessness and rough sleeping, with no-one needing to spend a ‘second night out’.
- **EC3**  Provide ‘help to help yourself’ and ‘help when you need it’ through a sustainable, safe and diverse system of social care and safeguarding provision, with a focus on early help and intervention.
- **EC4**  Prioritise community development and enable people to support their community.

### Fair & Inclusive
- **F11**  Make sure that 2,000 new homes (800 affordable) are built in Bristol each year by 2020.
- **F12**  Improve educational outcomes and reduce educational inequality, whilst ensuring there are enough school places to meet demand and with a transparent admissions process.
- **F13**  Develop a diverse economy that offers opportunity to all and makes quality work experience and apprenticeships available to every young person.
- **F14**  Help develop balanced communities which are inclusive and avoid negative impacts from gentrification.

### Wellbeing
- **W1**  Embed health in all our policies to improve physical and mental health and wellbeing, reducing inequalities and the demand for acute services.
- **W2**  Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.
- **W3**  Tackle food and fuel poverty.
- **W4**  Keep Bristol a leading cultural city, helping make culture, sport and play accessible to all.

### Well-Connected
- **WC1**  Improve physical and geographical connectivity; tackling congestion and progressing towards a mass transit system.
- **WC2**  Make progress towards being the UK’s best digitally connected city.
- **WC3**  Reduce social and economic isolation and help connect people to people, people to jobs and people to opportunity.
- **WC4**  Work with cultural partners to involve citizens in the “Bristol” story, giving everyone in the city a stake in our long-term strategies and sense of connection.

### Workplace Organisational Priorities
- **WOP1**  Redesign the council to work effectively as a smaller organisation.
- **WOP2**  Equip our colleagues to be as productive and efficient as possible.
- **WOP3**  Make sure we have an inclusive, high-performing, healthy and motivated workforce.
- **WOP4**  Be responsible financial managers and explore new commercial ideas.
**Report of:** Mike Jackson, Executive Director Resources  
**Title:** Corporate Risk Management Report and Corporate Risk Register (CRR) Report  
**Ward:** City wide

**Recommendation**

For the Overview and Scrutiny Management Board to note the attached Corporate Risk Management Report and Corporate Risk Register (CRR) Report that went to Cabinet on 2nd October 18.
Decision Pathway – Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 02 October 2018

<table>
<thead>
<tr>
<th>TITLE</th>
<th>Corporate Risk Management Report and Corporate Risk Register (CRR) Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ward(s)</td>
<td>City Wide</td>
</tr>
<tr>
<td>Author:</td>
<td>Jan Cadby</td>
</tr>
<tr>
<td>Job title:</td>
<td>Interim Risk Manager</td>
</tr>
<tr>
<td>Cabinet lead:</td>
<td>Councillor Cheney</td>
</tr>
<tr>
<td>Executive Director lead:</td>
<td>Mike Jackson / Denise Murray</td>
</tr>
<tr>
<td>Proposal origin:</td>
<td>BCC Staff</td>
</tr>
<tr>
<td>Decision maker:</td>
<td>Cabinet Member</td>
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<tr>
<td>Decision forum:</td>
<td>Cabinet</td>
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Purpose of Report: Managing risks are an integral element to the achievement of the Bristol City Council’s (BCC) Corporate Strategic Plan (CSP) deliverables. The report provides an update on work completed to improve risk management at BCC and sets out the council’s current significant risks and summarises progress in managing the risks as at Quarter 2 2018-19.

The Corporate Risk Register (CRR) is a key document in the council’s approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2018-2023 and Business Plan 2018-2019. It also provides a context through which Directorates construct their own high level risk assessments and is used to inform decision making about business planning, transformation and service delivery.

The CRR provides assurance to management and Members that the Bristol City Council’s significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.

The CRR attached to this report at Appendix A is the latest formal iteration following a review by members of the council’s Corporate Leadership Board (CLB) on 28th August 2018.

Evidence Base: The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS).

Ensuring that the CRR is soundly based will help the council to ensure it is anticipating and managing key risks to optimise the achievement of the council’s objectives and prioritise actions for managing those risks.

The CRR is a management tool and needs regular review to ensure that the occurrence of obstacles or events that may put individual’s safety at harm, impact upon service delivery and the council’s reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.

The Risk Management Policy will be subject to an annual review and reported in 2018-19.

Recommendation:

Cabinet are requested to receive and note the Corporate Risk Report.

Corporate Strategy alignment: Managing risks are an integral element to the achievement of the BCC Corporate Strategic Plan (CSP) deliverables.

City Benefits: Risk Management aims to maximise achievement of the council’s aims and objectives.
Consultation Details:

**Risk Management Framework**

Risk management is the culture, process and structure that are directed towards effective management of potential opportunities and threats to the council achieving its priorities and objectives and a key element of the council’s governance framework.

During the last quarter we have been increasing the level of engagement and ownership by Service Managers through a series of risk management awareness sessions and workshops to review existing risks and identify new and to refresh the Corporate and Directorate Risk Registers maintaining the focus to help reduce the risk against the council’s Corporate Plan objectives 2018-23.

**The Corporate Risk Register (CRR)**

The Corporate Leadership Board (CLB) has reviewed the CRR in August 2018 and accepts it as a working register which will need continued improvement as it embeds.

The CRR sets out the significant critical and high rated risks both threats and opportunities. All other business risks reside on the Directorate Risk Registers.

During the quarter there has been two significant issues to report:

- The External Auditors were unable to sign off the Council’s Annual Statement of Accounts for 2017/18 within the revised statutory deadline of 31st July 2018. Officers have been working closely with the auditors to ensure speedy resolution of all outstanding matters to enable publication of audited accounts as soon as possible. This reputational risk has been escalated for next year and improvements to pre-audit planning arrangements are in progress with the appointed external auditors to mitigate the risk.

- The Housing IT Programme was unable to go-live during September 2018. Officers are working to a revised plan with resources committed to enable a revised deadline of the 30th October 2018.

The Corporate Risk Register (CRR) as August 2018 contains:

- No critical risks
- 14 high rated threats
- 6 medium threats
- 1 closed threat
- 3 high opportunities
- 1 medium opportunity
- 1 high and 1 medium event risks

A summary of the progress of new and closed risks for this reporting period are set out below.

**There are four new threat risks this quarter:**

- **CRR18 - Delivery of 2000 homes per annum by 2020.** The risk of failing to deliver the range of housing to meet Bristol’s needs and not realise the ambition to deliver 2000 homes per annum by 2020. The risk rating being 2x5 (10) medium risk. This risk is managed and monitored on the Growth and Regeneration Risk Register.

- **CRR19 - Tree Management:** The risk of trees falling as a result of failure under certain weather conditions and/or due to disease. The risk rating being 3x5 (15) high risk. This risk is managed and monitored on the Communities Risk Register.

- **CRR20 - General Data Protection Regulation (GDPR) Compliance:** If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to comply with its statutory requirements. The risk rating being 2x5 (10) medium risk. This risk is managed and monitored on the Resources Risk Register.

- **CRR21 - Partnerships Governance:** If the council does not maximise (or cannot quantify) the benefits of partnership working and/or experiences negative or counter-productive results may arise from partnership working. The risk rating being 3x5 (15) high risk. This risk is managed and monitored on the Resources Risk Register.
There is one closed threat risks this quarter:

- **CRR14 - Information Governance - Introduction of the General Data Protection Regulations (GDPR):** The council has made significant progress on compliance with the General Data Protection Regulations (GDPR). The risk closed as 2x5 (10) medium risk and within the council’s tolerance level. A new risk **CRR20 - General Data Protection Regulation (GDPR) Compliance** has been identified and recorded on the Corporate Risk Register.

There are four new opportunity risks this quarter:

- **OPP1: One City Plan:** The One City Plan (OCP) will offer a new way to plan strategically with partners as part of a wider city system. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.

- **OPP2: Corporate Strategy:** The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.

- **OPP3: Devolution:** Should the potential arise for opportunities from a region’s evolving second devolution deal that could lead to an opportunity to align the Council’s corporate priorities and strengthen regional partnership working. The risk rating being 3x5 (15) high opportunity risk. This risk is managed and monitored on the Resources Risk Register.

- **OPP4: Brexit:** If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level. The opportunity risk being 1x5 (5) medium risk. This risk is managed and monitored on the Resources Risk Register.

All risks on the CRR have management actions in place. The CRR continues to be subject to a refresh during 2018.

As with all risks, it is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Further details are contained in Appendix A: The summary of the threat risks are set out on pages 1 to 20, opportunity risks pages 21 to 22, and external and civil contingency risks on page 23 all including controls and management actions.

A summary of risk performance on pages 24 to 25 by level of risk, the risk matrix on page 26 and the risk scoring criteria on page 27. A more in-depth risk register is available on request.

<table>
<thead>
<tr>
<th>Revenue Cost</th>
<th>£0</th>
<th>Source of Revenue Funding</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Cost</td>
<td>£0</td>
<td>Source of Capital Funding</td>
<td>NA</td>
</tr>
</tbody>
</table>

**Required information to be completed by Financial/Legal/IT/ HR partners:**

1. **Finance Advice:** The CRR is a live document refreshed regularly following consultation across the organisation, and aims to provide assurance that the council’s main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision is made through the budget planning process and reserves.

   **Finance Business Partner:** Interim Head of Finance. 23rd August 2018.

2. **Legal Advice:** There are no specific legal implications in the report. The Corporate risk register and report assists the council to monitor and ensure good governance and compliance with its Statutory duties.

   **Legal Team Leader:** Head of Legal Service and Deputy Monitoring Officer. 20th August 2018.

3. **Implications on IT:** The production of this report, in itself, carries no direct IT implications. Clearly, there are IT implications identified within it and these are being addressed in line with the comments contained in the relevant sections.

Page 72
**IT Team Leader:** Acting Head of IT. 23rd August 2018.

**4. HR Advice:** It is essential that staffing resources are appropriately deployed to manage these risks that are highlighted. There are no HR implications arising from the CRR update report.

**HR Partner:** Head of Human Resources. 17th August 2018.

<table>
<thead>
<tr>
<th>EDM Sign-off</th>
<th>Denise Murray</th>
<th>8 Aug 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cabinet Member sign-off</td>
<td>Cllr. C. Cheney</td>
<td>20 Aug 2018</td>
</tr>
<tr>
<td>CLB Sign-off</td>
<td>Denise Murray</td>
<td>21 Aug 2018</td>
</tr>
<tr>
<td>For Key Decisions - Mayor’s Office sign-off</td>
<td>Mayor’s Office</td>
<td>31 Aug 2018</td>
</tr>
</tbody>
</table>

**Appendix A – Further essential background / detail on the proposal**
Appendix A: The Corporate Risk Register Summary Report Pages (1 to 23), the Performance Risk Summary (page 24 to 25), the Risk Rating Matrix and Scoring Criteria (pages 26 to 27).

<table>
<thead>
<tr>
<th><strong>Appendix B – Details of consultation carried out - internal and external</strong></th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appendix C – Summary of any engagement with scrutiny</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix D – Risk assessment</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix E – Equalities screening / impact assessment of proposal</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix F – Eco-impact screening / impact assessment of proposal</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix G – Financial Advice</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix H – Legal Advice</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix I – Combined Background papers</strong></td>
<td>NONE</td>
</tr>
<tr>
<td><strong>Appendix J – Exempt Information</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix K – HR advice</strong></td>
<td>NO</td>
</tr>
<tr>
<td><strong>Appendix L – IT</strong></td>
<td>NO</td>
</tr>
</tbody>
</table>
### Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>What we are doing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CRR1: Long term commercial investments and major projects capital investment.</strong></td>
<td>We have reviewed Capital Governance arrangements and have established the Growth and Regeneration Board in order to improve capital programme governance and accountability arrangements. The Board is overseen by the Delivery Executive to make improvements to capital project business cases, taking account of whole life costing principles and improving capital monitoring arrangements.</td>
<td>The Capital Strategy will be developed by February 2019. Improvements to capital programme governance and accountability arrangements through Housing, Property and Growth &amp; Regeneration Board, with tracking and delivery are overseen by Delivery Executive. The Executive Director for Growth and Regeneration has instigated a series of ongoing ‘Deep Dives’ with a focus on key programmes and project deliverables feedback being reviewed by the Growth and Regeneration Board and further detailed review of the capital programme to be undertaken as part of the budget process. The Growth and Regeneration Board meets monthly to continue to improve project, programme and portfolio risk management to ensure robust arrangements are in place and challenge against deliverables. We will maintain a balanced portfolio of investment assets so that exposure to particular classes of risk can be minimised. We continue to strengthen client side arrangements for companies around the: <strong>Harbour Strategy</strong></td>
</tr>
<tr>
<td><strong>Strategic, geographic, social, financial and economic conditions changing over time.</strong></td>
<td>We are understanding, monitoring and reporting the cost-determining factors, and seeking relevant professional advice to ensure Value for Money (VFM) by undertaking due diligence which covers the economic, financial, social and environmental case. This is ongoing.</td>
<td></td>
</tr>
<tr>
<td><strong>Governance arrangements are in place for the council as a Company Shareholder.</strong></td>
<td>The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include: <strong>Harbour Strategy</strong></td>
<td></td>
</tr>
<tr>
<td><strong>The operating and maintenance cost of the asset exceeds expectations.</strong></td>
<td>Key potential causes are:</td>
<td></td>
</tr>
<tr>
<td><strong>The project is delivered later than planned.</strong></td>
<td>• The cost is higher than expected. • The project is delivered later than planned. • The operating and maintenance cost of the asset exceeds expectations. • The demand for the asset is less than anticipated capital investment.</td>
<td></td>
</tr>
<tr>
<td><strong>BCC’S long term commercial investments and major projects may require greater than anticipated capital investment.</strong></td>
<td>Key potential causes are:</td>
<td></td>
</tr>
<tr>
<td><strong>Oversight of Project Interdependencies not well managed.</strong></td>
<td>Key potential causes are:</td>
<td></td>
</tr>
</tbody>
</table>

### Risk Owner: Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer.

### Action Owner: Interim Executive Director Growth and Regeneration, Director Finance.

### Portfolio Flag: Finance, Governance and Performance.

### Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.
### CRR2: IT Infrastructure.

If IT Infrastructure does not meet service delivery requirements then there could be serious implications for the organisation and the people it serves.

**Key potential causes are:**
- Lack of infrastructure investment in IT.
- Reliance on legacy systems.
- Limited integration with corporate systems.
- Lack of skilled staff.
- Retention of skilled staff.
- Confidence in resilience of IT infrastructure response.
- Limited business engagement to identify appropriate IT solutions.
- Limited identity and access management.

A Future State Assessment (FSA) review has been undertaken of the performance of the IT service and the technology in use. Failure to implement the recommendations will increase the risk of system and service failure across the council May/June 2018 and will significantly impact our ability to deliver savings.

An Internal Audit of FSA review was carried out May/June 2018. The IT Strategy was developed May/June 2018 and the FSA transition plan completed May/June 2018. The financial envelope created and financial review April 2018.

The IT Impact assessment is in place and will be communicated and trained during Q2/3 2018. There is an on-going programme of review relating to IT Disaster Recovery and Business Continuity. 2018 Ongoing.

IT resilience improvements have been made to underlying data storage, data centre capability and network resilience during 2018/19.

All internal IT security incidents are logged and reviewed from an IT and wider Information Governance perspective Q2/3 2018.

The FSA Rollout 2018/19 is ongoing subject to cabinet approvals and funding July 2018.

BCC continues to delivery against the FSA Plan to 2023 which includes the future investment, improvements to legacy IT, solution based integration to future systems, business engagement and confidence in our resilience of operational for our IT Infrastructure.

A phased implementation of a series of key projects identified as part of the FSA review and prioritised to deliver mitigation against the risks identified starting in Q2. 18/19 planned completion by end 2021. Key projects include:
- The Cloud migration project.
- A phased Cloud productivity solution.
- A phased implementation for a Customer Relationship management solution.
- A single customer view.
- End User Platform.
- IT Security.
- IT Service support.
- Identity and Access Management (IDAM).
- Integrated Communications.
- Intranet.
- IT Service Management (ITSM).
- Management information and Business Information MI/BI including Knowledge Management.

Progress on the data centre migration to cloud is progressing on plan. Most core systems are back on site with the last planned move October 18. Discovery phase is completed and we are in the process of building a transition plan based on system priority and minimisation of impact to the business. Core systems still on target to be in the cloud and off premise by November 2018.

BCC will review the skills within the IT team as set out in the FSA Plan by Q3. 2018/19. The transition planning (projects delivery) initial resources recruitment is underway Q1. 2018/19. Skills assessment of the IT is underway, and a planned restructure will be implemented to support the needed skills and resourcing profile to achieve the FSA transition plan July - December 2018.

Core IT processes need to be implemented/re-engineered to drive the service towards more proactive ways of working to support the wider organisations drive to achieve savings and service change July 2018 - July 2019.

The decision pathway for release of funds is underway - target completion is Q2. 2018/19. DR testing (planning) is underway with support from Resources EDM and DWG. Service assessment is also progressing to identify impact and resources needed within the services to test each DR scenario. A formalised annual DR plan is being developed and implementation to plan will follow once signed off by the wider business.
# Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

## Threat Risks

### Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR3: Failure to Manage Asbestos.</td>
<td>We have an ongoing plan for properties to be surveyed prior to any work being undertaken by Asbestos Consultants plus an ongoing programme of surveys is being carried out. Funding for Contractor training was agreed in February 2018. There is a process for reporting Asbestos exposure incidents to the HSE via F2508 form. Asbestos incidents are reported via the Corporate health and safety accident/incident process. Asbestos incidents are investigated in-house and appropriate actions are taken. Significant asbestos issues are reported to the appropriate Health &amp; Safety Committees, senior management and executive. Corporate Asbestos arrangements have been reviewed and published on the Source, 12th June 2018. Targeted work on asbestos has commenced.</td>
<td>Likelihood 3  Impact 7  Risk Rating 21</td>
<td>A corporate review of Asbestos arrangements is being carried out by end Q2 2018/19. All managers will be informed of reviewed Asbestos arrangements by use of CHaSMS by end August 2018. Housing and Property Service are reviewing and updating the service area of Asbestos arrangement procedures in December 2018. Contractor training to inform of BCC’s expectations of standards, whilst on our sites arrangements is being carried out by end Q2 2018/19.</td>
<td>Likelihood 1  Impact 7  Risk Rating 7</td>
</tr>
</tbody>
</table>

## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Threat Risks

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<tr>
<th>Risk title and description</th>
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<th>Tolerance Risk Level</th>
</tr>
</thead>
</table>
| **CRR4: Corporate Health, Safety and Wellbeing.** | If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of citizens. Key potential causes are:  
- If services do not have sufficient staff numbers to carry out work plans in a safe way.  
- If services are not able to order appropriate equipment required for staff safety.  
- Lack of appropriate equipment.  
- Lack of appropriate training.  
- Lack of oversight and control by local management.  
- Lack of information on the potential or known risks.  
- Inadequate contract management arrangements.  
- Lack of effective processes and systems consistently being applied.  
- Policies are not kept up to date.  
- Budget pressures. | The Corporate Health & Wellbeing (HS&W) team is in place to support the council and provide advice and guidance. The Corporate Policy Statement, service specific policies, procedures and systems of work and safety arrangements are in place and routinely reviewed. BCC has a Corporate Health and Safety Management System (CHaSMS) to identify and monitor hazards, risks and appropriate actions. Each manager (with staff and/or premises responsibilities) has an action plan which is completed by all Managers on a quarterly basis. Once completed the (HS&W) team check the returns, and give relevant feedback to the individual Managers and report the overall results to Senior Management. The accident/incident reporting procedure is in place to monitor injury to colleagues and communicated. All incidents are subject to the investigation procedure to reduce potential for recurrences. Corporate procedures and a risk assessment pro-forma exist for core safety functions including arrangements for fire risk assessment of all workplaces. A register is in place for potential asbestos exposures. We have reviewed and further invested in statutory health surveillance equipment and training and a programme of work in place within council housing post Grenfell. BCC has a programme of e-learning and personal face to face course delivery available to all staff and members. Ongoing specific training on H&S and excessive pressure/personal resilience is also available. Stress management training and stress risk assessment training is available for managers and employees. An independent occupational health support (NHS Avon Partnership Occupational Health Service) is in place to provide advice, employee support, management medical opinion and advice to support managers dealing with employee ill-health and absence. A pre-employment health screening service is in place to ensure reasonable adjustments are identified to support employees and also an HGV driver medical support service. A confidential Employee Assistance Programme, Wellbeing telephone helpline operates (24hrs / 7 days a week); this programme also includes a range of Wellbeing information via a website. Partnerships with external providers of counselling and physiotherapy services are in place to provide fast-track access to these services. The council is routinely monitoring these services. The Intelligence network including the Corporate Safety Information System is in place to share details of the addresses to the Citizens of Bristol considered to present risks to staff. Corporate Health and Safety is reported to the Leadership team quarterly using the CHaSMS to help monitor compliance. BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives. Benchmarking and annual reports are provided to BCC along with the annual performance report. All contracts set up with external providers include checking their relevant Health and Safety competency. The councils audit programme monitors compliance with statutory duty and best practices. | A revised electronic accident/incident database will be launched in April 2019 which will inform on the annual report and action plan. A revised approach to Health and Safety compliance will be reviewed and aligned to the Corporate H&S Management System (CHaSMS) by April 2019. A review of H&S serious cases will be completed in September 2018. A review of the Directorate H&S Co-ordinators Group (DHSWCG) and its reporting of H&S issues will be carried out by September 2018. The programme of work post Grenfell which will be further developed in line with any emerging themes/outcomes from the Public Enquiry. |
## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Threat Risks

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>What we are doing</th>
<th>ToleranceRisk Level</th>
</tr>
</thead>
</table>
| **CRR5: Business Continuity and Councils Service Resilience.** | If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services. Key potential causes are:  
- Strikes (People, Fuel).  
- Loss of key staff (communicable diseases and influenza epidemics).  
- Loss of suppliers.  
- Loss of accommodation to deliver key services.  
- Loss of equipment.  
- Any event which may cause major disruption.  
- Unavailability of IT and/or Telecoms.  
- Loss of staff/staff availability.  
- Knowledge loss.  
- Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.  
(See CRR2 for IT Infrastructure risk page 2 and CRR7 for Cyber-attack and its implications page 7). | | | |
<p>| | The council has a Corporate Resilience Group (CRG) supported by directorate representatives who meet quarterly to overseeing the council’s Business Continuity arrangements and to receive significant risks outside council Control which are reflected on the Local Resilience Forum Community Risk Register. A number of Policies and procedures are in place including the Business Continuity Policy (September2016) which was communicated to relevant staffs. The Incident Response Plan updated in July 2017. Service Business Continuity Plans were in place for January 2018 the plans are undergoing a refresh in 2018. An Incident Management Team training session is planned for September 2018. A Senior Management on-call rota has been devised agreed and is regularly monitored. A successful annual recovery exercise Day Two was carried out 25th May 2018 and relevant improvements are being built into the wider council arrangements and will be briefed to the CRG. | | | |
| | | | | |
| <strong>Risk Owner:</strong> Acting Executive Director Communities. | <strong>Action Owner:</strong> Civil Protection Manager. | | | |
| <strong>Portfolio Flag:</strong> Finance, Governance and Performance. | <strong>Strategy Theme:</strong> Our Organisation, Wellbeing. | | | |</p>
<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>What we are doing</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR6: Fraud and Corruption.</td>
<td>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</td>
<td>Performance</td>
<td>Tolerance</td>
</tr>
<tr>
<td></td>
<td>Key potential causes are:</td>
<td>Likelihood</td>
<td>Impact</td>
</tr>
<tr>
<td></td>
<td>• Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times.</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>• Not keeping up to date with developments, in new areas of fraud.</td>
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<td></td>
<td>• Insufficient risk assessment of new emerging fraud issues.</td>
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<td></td>
<td>• Lack of clear management control of responsibility, authorities and/or delegation.</td>
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<tr>
<td></td>
<td>• Lack of resources to undertake the depth of work required to minimise the risks of fraud/avoidance.</td>
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</tr>
<tr>
<td></td>
<td>• Under investment in fraud prevention and detection technology and resource.</td>
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<tr>
<td></td>
<td>We are continually improving the comprehensive system of control which aims to prevent fraud and increase the likelihood of detection. This includes a strong and robust policy on anti-fraud, corruption and bribery.</td>
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<tr>
<td></td>
<td>We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team.</td>
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<td></td>
<td>The team concentrates on areas of high fraud risk, investigates fraud promptly where suspected and sanctions appropriately. By, investing in specialist fraud prevention and detection software and utilising cross organisation data will minimise the council’s exposure to fraud risk and aid early detection/prevention. An accessible route to report suspected fraud is available to both the public and employees via a Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy and web page. This ensures that the council’s financial systems accurately record the financial transactions and robust control processes which are in place to maximise the opportunity to prevent and detect fraud or inaccuracies.</td>
<td></td>
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<tr>
<td></td>
<td>Employees are aware of probity standards expected of them via an Employee Code of Conduct, improving awareness of fraud and compliance through a process of reminders about ethics and conduct, fraud awareness training and other publicity, continual maintenance of Counter Fraud information on Web pages and monitoring and review of the effectiveness of the Counter Fraud Arrangements.</td>
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<tr>
<td></td>
<td>Key Counter Fraud Objectives were defined for 2018/19.</td>
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<tr>
<td></td>
<td>Counter Fraud Performance is monitored by Audit Committee via the Annual Counter Fraud Update, periodic Internal Audit Updates and the Annual review of arrangements against CIPFA Count Fraud Assessment Tool. Improvements are highlighted an action plan which is monitored by Audit Committee.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Action Owner: Director of Finance and Chief Internal Auditor.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Risk Owner: Executive Director Resources and Director of Finance (Section 151 Officer).</td>
<td></td>
<td>Portfolio Flag: Finance, Governance and Performance.</td>
<td>Strategy Theme: Our Organisation.</td>
</tr>
</tbody>
</table>
## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Threat Risks

#### Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.

<table>
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<tr>
<th>Risk title and description</th>
<th>What we have done</th>
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</tr>
</thead>
<tbody>
<tr>
<td>CRR7: Cyber-attack threats and implications.</td>
<td>BCC are implementing the IT Transformation Programme which includes actions to further strengthen IT resilience, with systems and software compliance against various UK Standards. The Information Security Policy as revised in August 2016 and the BCC systems have been reconfigured in line with best practice security controls proportionate to the business information being handled. Systems are risk assessed and reviewed to ensure compliance is maintained as a multi layered defence. The Policy, assessment is subject to a formal annual review. External reviews of the council’s Security Compliance is carried out to maintain accreditation and confirm best practice and applied annually. An information security risk assessment was completed to identify risks, lessons learnt and an action plan developed. This assessment and plan informs on the Internal Audit plan for 2018/19. Electronic Communications Users Policy, Virus reporting procedure and Social Media Guidelines are in place. Staff/Members and Partner information security training is provided and ongoing. ‘Enterprise phishing’ training was carried out in 2017. BCC has in place external third party IT support for incident management. We monitor threats, network behaviours and data transfers to seek out possible breaches and take appropriate action. The Future State Assessment (FSA) Capital bid was successfully approved by cabinet to implement and fund additional security measures as part of the FSA programme.</td>
<td>Annual penetration testing is now completed. This highlighted a number of risks and issues that are being reviewed, planned against and addressed. Progress to plans will be reviewed and reported on as required. Our annual PSN submission is currently underway again with appropriate assessment of risk across the whole estate. The risks continue to be identified from legacy systems operating on systems identified as a potential heightened risk. The steps to mitigate this risk are being worked through and include isolation of applications, patching, decommissioning and upgrades. These approaches are being worked through with the business and discussed externally with the PSA authority to agree appropriate mitigation and subsequent PSA sign off. We are developing and delivering new information security training throughout the year.</td>
</tr>
</tbody>
</table>

Key potential causes are:
- Successful deliberate or accidental infection of council systems with malware or other intrusive or destructive virus (e.g. ‘Phishing’ scam).
- Successful deliberate or accidental leak of sensitive information into the public domain.
- System security arrangements not maintained or updated on a timely basis.
- Lack of information or training on latest security arrangement / threats.
- Human error through lack of training or poor process design.

**Risk Owner:** Director - Digital Transformation.  
**Action Owner:** Director Digital Transformation.  
**Portfolio Flag:** Finance, Governance and Performance.  
**Strategy Theme:** Our Organisation.
<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>Risk Rating</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRRB: Service Review.</td>
<td>A senior management restructure is almost complete which will bring permanency and stability for the leadership team. A new Leadership Framework sets out the leadership behaviours and qualities expected of our managers and aspiring managers. Applicants for senior leadership roles are tested against these qualities. An organisation-wide leadership development and engagement programme will support colleagues during the time of transition. The Leadership Framework will be rolled out to provide support to enable our staff to become confident and supportive leaders for our workforce. To promote a positive culture within the organisation, a set of organisation values and behaviours has been created in collaboration with staff focus groups; this will help set the tone of the organisation and assist, in conjunction with the Corporate Strategy priorities, in providing clarity of purpose. It will link directly through to a new performance framework that will provide clarity to staff about the expectations and how their work contributes to the success of the organisation. This will feature in the Workforce Plan which is currently being drafted. Learning and development is available to support staff to meet the expectations of the organisation. The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents. A new Leadership Framework is in place and used as the assessment framework to recruit new senior leaders against. A refreshed internal communication and engagement strategy was received by to CLB in August 2018.</td>
<td>3 5 15</td>
<td>The senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting. The organisation values and behaviours have been adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops. New leadership Framework is used as the assessment framework to recruit new senior leaders against. A development programme for the new team is in the planning stages - to help the new team work effectively together. A leadership development programme is underway for team leaders and managers (4/5 tiers), with 148 currently on the programme and further intakes to follow. Leadership development planning is underway for third tier managers. Learning and development support available to all staff to help them develop their skills and confidence in their roles, with additional funding identified for 2018/19. The provision of L&amp;D support around diversity and inclusion is currently being reviewed. A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019. Regular communication with staff and key stakeholders is made to keep them up to date with organisational priorities and progress on recruitment of the senior leadership team. The Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities. It has a focus on six cross-cutting themes - organisational culture; structure, pay and policy; diversity and inclusion; health and wellbeing; performance and talent management; employer brand and recruitment.</td>
<td>2 5 10</td>
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### Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Council’s Objectives.

<table>
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| **CRR9: Safeguarding Vulnerable Children.** | The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child.  
Key potential causes are:  
- Safeguarding arrangements do not meet the requirements of the Children Act and associated legislation, guidance and regulations.  
- Inadequate controls result in harm.  
- Poor Management and operational practices.  
- Demand for services exceeds its capacity and capability.  
- Inability to recruit/retain social care staff in competitive market.  
- Poor information sharing.  
- Strategic commissioning arrangements do not meet identified need and our ability to commission safe care for children is impaired.  
We provide regular analysis of performance and reports to Cabinet Members and Directors regarding safeguarding performance and progress.  
The Safeguarding Children’s Board provides independent scrutiny of children’s safeguarding arrangements in the city and holds BCC and partner agencies to account.  
There has been a review of arrangements to meet the Prevent Duty and the Safer Bristol Board has adopted an Improvement Plan to deliver better outcomes in service provision quality and safety.  
BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect.  
Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.  
The Safeguarding and Quality Assurance Service has been remodelled to secure additional capacity (Independent reviewing officer and Child Protection Chairs) and has the Local Authority Designated Officer for allegations against people who work with children.  
Comprehensive training and development offer, together with publication of Bristol’s policies and procedures and monthly professional supervision help ensure safe practice and adequate control of risks. This is monitored and tested through a performance framework and quality assurance framework.  
Based on analysis and self-evaluation a transformation and improvement plan are in place to address areas identified for improvement (these incorporate actions in response to learning from Ofsted Inspections, Peer Review, Serious Case Review, complaints and other feedback received).  
For children with complex needs and disabilities, management and practice arrangements have been strengthened.  
Bristol’s Strengthening Families transformation programme is taking a whole system approach to meeting the needs of children and families at the earliest point. In this way we aim to manage demand and maintain capacity within the system.  
Universal services may be supported by early help and targeted services, including a team around the school offer.  
Bristol has an active strategy in place to attract, recruit and retain social workers with a particular emphasis on recruiting and retaining excellent, experienced social workers. The Management Team monitors social work vacancies and agrees strategies for urgent situations. Competent agency social workers and managers are used on temporary basis to fill vacancies. A number of further measures are being progressed with the aim of improving the retention of social workers.  
A robust social worker caseload monitoring framework is in place.  
Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed.  
Children’s strategic commissioning team have a work plan in place.  
BCC commissioners work closely with operational services to identify need and ensure appropriate service commissioning.  
Due diligence and quality checks of all commissioned services for vulnerable children are in place.  
Safeguarding Board and related arrangements are under review, with the aim of improving efficiency and effectiveness, and ensuring robust governance arrangements continue to hold multiagency partners (inc. BCC) to account.  
Ongoing action is being taken to extend information sharing arrangements and improve response to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations.  
Under the delivering of Strengthening Families Programme we have an ongoing plan to:  
- Reduce caseloads of social care practitioners.  
- Ensure purposeful practice that supports Children to live safely within their families and provide local authority care for those who need it.  
- Ensure effective management oversight is evident on all children’s records.  
- Measures to improve recruitment and retention of Social Workers will be presented through the Decision Pathway in September 2018.  
This should allow us to work proactively where poor practice is identified.                                                                 | 2 7 14                                                                 | 1 7 7                                                                 |

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<tr>
<td>CR10: Safeguarding Vulnerable Adults</td>
<td>The Safeguarding Vulnerable Adults Board is an independent scrutiny board led by BCC working in partnership with key agencies. There has been a multi-agency led review of existing arrangements led by BCC in light of the new Prevent Duty and the Board has adopted an Improvement plan to deliver better outcomes in service provision quality and safety. The Board is now on a statutory footing following implementation of the Care Act 2014. The Multi Agency Public Protection arrangements are in place (MAPPA) and BCC and the multi-agency Board work in conjunction with the Learning Disability and Mental Health services. The Bristol Safeguarding Adults Board Learning and Development Competence Framework has been reviewed and will be reviewed on an annually basis to ensure continued best practice. Safeguarding improvement plans are in place for Older People, Physical Disability and Disabled Children and the Capability framework for safeguarding and the mental capacity act have been introduced. The Adult Change Programme &quot;Better Lives&quot; - Transforming Care Programme has been established to implement policy objectives of moving people into more suitable care settings. We have an active strategy in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. The Adult South West Recruitment and Retention Strategy has been drafted, the risks and costs identified. The strategy will be presented through the Decision Pathway. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies. All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising &quot;Prevent&quot; training programme. Regular reporting on safeguarding is taking place quarterly for Directors and Cabinet Members, with an annual report for elected Members to allow for scrutiny of progress. The quality assurance framework and performance framework is routinely monitored and reported on.</td>
<td>Performance Likelihood Impact Risk Rating</td>
<td>Likelihood Impact Risk Rating</td>
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<tr>
<td>Risk Owner: Executive Director, Adults, Children and Education.</td>
<td>Action Owner: Interim Director Adult Social Care.</td>
<td>2 7 14</td>
<td>1 7 7</td>
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## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Risk Register as at August 2018 - Risks to the achievement of Bristol City Council’s Objectives.

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<td>CRR11: Bristol City Council (BCC) Infrastructure Delivery.</td>
<td>Governance arrangements have been established through the Growth and Regeneration Board (G&amp;RB) and the Strategic Property Group (SPG) both launched in Q4. 2017/18 to enable the integration of thinking about property with financial, regeneration and other considerations and enhance reporting of asset disposal plans and progress. The G&amp;RB have identified a number of areas of growth and regeneration (AGR) across the City during Q4. 2017/18 to enable place shaping including contributing to regeneration activity, affordable housing, community building and the financial sustainability of the council. Prioritisation of AGR is underway by the G&amp;RB Board. The Strategic Property Review Group (SPG) was established in January 2018 and meets on a monthly basis. The SPRG identified the need for an Operational Property Group in March 2018. The Operational Property Group (OPG) as a sub-group to the Strategic Property Group (SPG) was launched in July to unlock the value of assets, seek efficiencies through joint arrangements with public sector partners and maximise private sector investment. Actions are now being progressed through the work of the SPG and through OPG which will have a Corporate Landlord role to ensure the ownership of an asset and the responsibility for its management; maintenance and funding are transferred to a centralised corporate crosscutting group. Recruitment of specialist Asset Management Plan specialist resource commenced / on-going.</td>
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</tbody>
</table>

**Risk Owner:** Director Finance (Section 151 Officer), Executive Director Growth and Regeneration. **Action Owner:** Executive Director Growth and Regeneration. **Portfolio Flag:** Finance, Governance and Performance. **Strategy Theme:** Our Organisation.
## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Threat Risks

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<tr>
<th>Risk title and description</th>
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<th>Risk Owner: Acting Executive Director Communities.</th>
<th>Action Owner: Civil Protection Manager.</th>
<th>Portfolio Flag: Finance, Governance and Performance.</th>
<th>Strategy Theme: Our Organisation, Wellbeing.</th>
</tr>
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<tr>
<td>CRR12: Failure to deliver suitable planning measures, respond to and manage events when they occur.</td>
<td>The Avon and Somerset Local Resilience Forum (LRF) is a legally required multi-agency partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire. The Avon and Somerset LRF to drive work identified by risk and impact based on Avon and Somerset Community Risk Register. Key roles of the group includes: Intelligence gathering and forecasting, regular training exercises and tests, Task and Finish groups addressing key issues, procedure, plan writing and capability building and a multi-Agency recovery structure is in place. Bristol is working with Avon and Somerset Local Resilience Forum (LRF) together with personnel as an integrated and co-located team to deliver enhanced emergency planning and business continuity along with Avon and Somerset Local Health Resilience Partnership to ensure a coordinated health services and Public Health England and planning, response is in place. A system is in place for ongoing monitoring of severe weather events (SWIMS). Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. The most recent exercises being Day Two May 2018, Dark Zodiac April 2018 and Saxon Resolve November 2017. A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses. External IT security incidents are logged and reviewed from an IT and wider Information Governance perspective. Local procedures have been established and are being continually reviewed and refined for when the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan. We tested the Bristol Operations Centre capacity to support multi-agency operations in July 2018. BCC took receipt the South West’s share of the National Emergency Mortuary Equipment in July 2018.</td>
<td>We need to continue to strengthen our joint, multi-agency working arrangements with responder organisations in the City. An 'Introduction to Emergency Planning' e-learning package will be available for all staff by December 2018. A progress paper on Civil Contingency is scheduled to go to Strategy and Policy Board September 2018. Emergency Planning College (EPC)-led Strategic Incident Management Training sessions planned for October 2018. Review of Excess Deaths capability and plan is planned for September 2018, (multi-agency workshop held in July 18). Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing. Emergency Centre live exercise is planned for November 2018. Training for ABS staff to support incident response and recovery (admin, logging and logistics) is ongoing. We are embedding lessons from Exercise Day Two, particularly around housing capacity, community engagement and mutual aid. A report is planned for the Corporate Resilience Group (CRG). Voluntary agency capacity to support incidents will be reviewed by the LRF in October 2018. A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is planned for November 2018.</td>
<td>2 7 14</td>
<td>1 7 7</td>
<td></td>
<td></td>
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## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Threat Risks

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<tbody>
<tr>
<td><strong>CRR13: Financial Framework and MTFP.</strong></td>
<td>Failure to reasonably estimate and agree the financial ‘envelope’ available, both annually and in the medium-term and the council is unable to set a balanced budget.</td>
<td>Performance Likelihood: 5, Impact: 2, Risk Rating: 10</td>
<td>We are improving the financial model that reflects in a timely manner changes in national and local assumptions by Q3. 2018/19.</td>
</tr>
<tr>
<td><strong>Key potential causes are:</strong></td>
<td></td>
<td></td>
<td>We are ensuring the investment required to deliver the propositions is identified and fully costed Q2. 2018/19.</td>
</tr>
<tr>
<td>Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:</td>
<td>The potential for new funding formulas such as fair funding, business rates retention, new national funding formula for schools and high needs to significantly reduce the government funding available to the council alongside possible increase in demand for council services.</td>
<td></td>
<td>We are ensuring resources are available to provide delivery capacity/skills and the Investment needed to deliver Medium Term Financial Plan. Ongoing.</td>
</tr>
<tr>
<td>The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial risk.</td>
<td>Political failure to facilitate the setting of a lawful budget.</td>
<td>The Mid-Year Treasury Report for 2017/18 presented to Audit Committee and Full Council in accordance with the Council’s Treasury Management Process.</td>
<td>The up skilling plan to be delivered for staff to grow their commercial and business acumen by Q4. 2018/19.</td>
</tr>
<tr>
<td>Financial Regulations and Financial Scheme of Delegation is in place.</td>
<td>Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</td>
<td>The ongoing agreement of initial budget, proposals and key assumptions by Corporate Leadership Board and Executive and submission to scrutiny.</td>
<td>Ensuring that Bristol City Council are engaged with or receiving timely feedback from the range of Government working groups exploring future local funding. Ongoing.</td>
</tr>
<tr>
<td>Regular in-year monitoring and reporting, review of future financial plans and assessment of</td>
<td>Insufficient reserves to mitigate risks and liabilities and provide resilience.</td>
<td>The ongoing assessment of the adequacy of general reserves and any specific reserve which takes into account an assessment of the risks related to the budget estimates and financial/economic climate.</td>
<td></td>
</tr>
<tr>
<td>financial risks and reserves are undertaken to ensure the financial plans are delivered.</td>
<td>Rising inflation could lead to increased costs.</td>
<td>The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions.</td>
<td></td>
</tr>
<tr>
<td>2018/19 Budget and Capital Programme agreed by Full Council in February 2018 with agreed savings programme and outline capital programme to 2023.</td>
<td>Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income.</td>
<td><strong>Portfolios Flag:</strong> Finance, Governance and Performance.</td>
<td><strong>Strategy Theme:</strong> Our Organisation.</td>
</tr>
<tr>
<td>Medium Term Financial Strategy agreed by Cabinet in July 2017 and refreshed annually detailing savings, growth, and risks.</td>
<td>Brexit - the general uncertainty affecting the financial markets, levels of trade &amp; investment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Mid-Year Treasury Report for 2017/18 presented to Audit Committee and Full Council in accordance with the Council’s Treasury Management Process.</td>
<td>Judicial review of the budget process.</td>
<td></td>
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</table>
## CRR15: Financial Deficit.

The council’s financial position goes into significant deficit in the current year resulting in general reserves (actual or projected) being less than 75% of the level specified in the reserves policy.

Key potential causes are:

- A failure to appropriately plan and deliver savings unscheduled loss of material income streams.
- Increase in demography, demand and costs for key council services.
- The inability to generate the minimum anticipated level of capital receipts.
- Insufficient reserves to facilitate short term mitigations, risks and liabilities.
- Interest rate volatility impacting on the council’s debt costs.
- Judicial review of the budget process.

<table>
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<tr>
<td>BCC’s Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting. New spend decisions and borrowing is only supported where the source of revenue resources to meet the costs is clearly identified and availability confirmed by Finance. Getting our accounts produced on time and without audit qualification is important to ensure that we can properly account for the resources we have used during the year.</td>
<td>2 5 10</td>
<td>A review of robustness of forecasting in light of YTD run rates and other associated evidence. Budget Improvement – The executive will review service recovery/delivery plans, options for mitigation and their viability, risk and priority outcome implications - both immediate and the wider MTFP impact. Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to the Mayor and Cabinet seeking a supplementary funding approval in accordance with the council’s delegated executive approval powers (up to £1,000,000 for an area of activity). Where viable in year recovery/delivery plans cannot be achieved, Executive Directors will report to Full Council (in accordance with the Budget &amp; Policy framework ) to seek agreement to a supplementary estimate (&gt; £1,000,000 for an area of activity).</td>
<td>1 5 5</td>
</tr>
<tr>
<td>Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified. The ongoing review and due diligence of all budget savings by Delivery working Group and Delivery Executive, Corporate Leadership Board and the Executive. The pipeline of propositions to be incorporated into the DWG tracker, due diligence undertaken and subject to DWG/DE governance and assurance process.</td>
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<tr>
<td>The ongoing regular monitoring reports to Corporate Leadership Team and Cabinet management reports setting out progress on delivery of savings and other risks and opportunities in addition to the forecast expenditure. We have continual oversight and ongoing management of the council’s financial risks. Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.</td>
<td></td>
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<tr>
<td>Risk Owner: Director of Finance (S151 Officer). Action Owner: Executive Director Resources, Director of Finance (S151 Officer).</td>
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# Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Council's Objectives

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<td><strong>CRR16: Leadership.</strong></td>
<td>A senior management restructure is almost complete which will bring permanency</td>
<td>The Senior leadership restructure is complete with recruitment underway for remaining vacant roles. A full permanent team will be in place by January 2019 and appropriate arrangements are in place to cover vacant roles whilst we are recruiting.</td>
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<td>and stability for the leadership team.</td>
<td>A new Leadership Framework is in place and used as the assessment framework to recruit new senior leaders against. A development programme for the new team is in the planning stages - to help the new team work effectively together.</td>
</tr>
<tr>
<td></td>
<td>A new Leadership Framework sets out the leadership behaviours and qualities</td>
<td>A leadership development programme is underway for CLB. A leadership development programme for 2nd tiers (extended leadership board) is currently in the planning stages and due for launch in Autumn. All development is based upon the new leadership framework and organisational values.</td>
</tr>
<tr>
<td></td>
<td>expected of our managers and aspiring managers. Applicants for senior leadership</td>
<td>Organisation values and behaviours adopted as part of Corporate Strategy and are being rolled out to all employees via team workshops, embedding in My Performance appraisal forms and part of the core narrative of the internal communication strategy by Jan 2019.</td>
</tr>
<tr>
<td></td>
<td>roles are tested against these qualities.</td>
<td>A performance appraisal cycle is underway for 2018/19 with individual objectives set against business plan objectives from the Corporate Strategy. A new approach to performance and talent management is being developed for launch in April 2019; this will include performance management for senior leaders.</td>
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<td>An organisation-wide leadership development and engagement programme will</td>
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<td>support colleagues during the time of transition. The Leadership Framework will be</td>
<td>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</td>
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<td>supportive leaders for our workforce.</td>
<td>Learning &amp; Development support is available to all staff to help them develop their skills and confidence in their roles, with additional funding identified for 2018/2019. The provision of L&amp;D support around diversity and inclusion is currently being reviewed.</td>
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<td>To promote a positive culture within the organisation, a set of organisation values</td>
<td>The Workforce Plan will detail the actions we will take to meet the future needs of the organisation and equip colleagues to contribute to the delivery of the corporate strategy priorities. It has a focus on six cross-cutting themes: organisational culture; structure, pay and policy; diversity and inclusion; health and wellbeing; performance and talent management; employer brand and recruitment. This is an ongoing 5 year plan, with individual timescales for each action.</td>
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<td>help set the tone of the organisation and assist, in conjunction with the Corporate</td>
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<td>Strategy priorities, in providing clarity of purpose. It will link directly through to</td>
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<td>a new performance framework that will provide clarity to staff about the expectations</td>
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<td>and how their work contributes to the success of the organisation. This will feature</td>
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<td>in the Workforce Plan which is currently being drafted.</td>
<td>The Corporate Strategy and associated Business Plans will provide clarity on priorities and help our workforce focus its attention and resources on the areas that derive greatest results for our communities and residents.</td>
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<td>We have regular communication with staff and key stakeholders to keep them up to</td>
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<td>date with organisational priorities and progress on recruitment of the senior</td>
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<td>leadership team. A refreshed internal communication and engagement strategy was</td>
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**Risk Owner:** Head of Paid Service and CLB  
**Action Owner:** Head of Paid Service and CLB  
**Portfolio Flag:** Finance, Governance and Performance  
**Strategy Theme:** Our Organisation
## Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

### Risk title and description

**CRR17: Bristol City Council Strategy Management.**

The council fails to produce or embed a Corporate Strategy with clear links through to business planning and performance management, resulting in less effective implementation of policy, use of resources and/or partnership working.

Key potential causes are:

- Plans, policies, budget and/or resource not aligned to the Corporate Strategy.
- Significant changes in senior management roles and personnel results in lack of knowledge or a feeling of ownership in relation to the Corporate Strategy.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>Risk Rating</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR17: Bristol City Council Strategy Management.</td>
<td>Full Council received and approved the Corporate Strategy 2018 - 2023 in February 2018. Cabinet received the BCC Business Plan 2018/19 to note in May 2018. This was based on key elements of Service Plans for every department. We have completed and approved the Performance Framework via Statutory and Policy Board in June 2018. The refreshed Performance Framework follows through the golden thread from Corporate Strategy through to KPIs and management information. Communications plan for embedding Corporate Strategy and Business Plans, including full briefing of all Tier 1 - 3 managers and inclusion in My Performance reviews for all colleagues. An ongoing review of the Medium Term Financial Plan (MTFP) and wider policy / strategy framework to check alignment with Corporate Strategy.</td>
<td>Performance Likelihood Impact Risk Rating</td>
<td>1 7 7</td>
<td>We are rolling out tactical communications and refreshing the Communications Strategy and core council narrative in September 2018. The BCC policy and strategy framework will be reviewed in priority order with initial data collection complete. The nature of reviewing strategies across the council means it will be an ongoing process. My Performance reviews are being completed across the organisation and managers are briefed to link personal objectives to the outcomes set out in the Corporate Strategy and Business Plan. The Corporate Strategy is being explained to all new colleagues via the corporate induction process. Statutory and Policy Board will receive quarterly reporting from August 2018/19 on progress against the Performance Framework. A one-off ‘good housekeeping’ review of corporate partnerships is planned for Q2/3 2018/19, creating a refreshed database and reviewing partnership Terms of Reference and/or Service Level Agreements against the Corporate Strategy and emerging partnership governance model as part of the developing One City Approach.</td>
<td>1 5 5</td>
</tr>
</tbody>
</table>

**Risk Owner:** Head of Paid Service.  
**Action Owner:** Acting Director: Policy and Strategy.  
**Portfolio Flag:** Finance, Governance and Performance.  
**Strategy Theme:** Our Organisation.
## Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Council’s Objectives

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Performance</th>
<th>What we are doing</th>
<th>Tolerance</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR18: Failure to deliver 2000 Homes per annum by 2020.</td>
<td>We have secured planning permissions. We have secured additional grant funding for infrastructure. We have been releasing land. We have been issuing grants to Registered Providers (RPs).</td>
<td>New 2 5 10</td>
<td>We are continually addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes) etc. We are considering setting up new procurement framework for contractors and consultants. We are operating a significant land release programme to Registered Providers. We are running series of ongoing issue busting exercises across the Housing Delivery Programme. We are carrying out a service review of the Housing Delivery Service by March 2019. We are engaging with Homes England on their new strategic partnerships to deliver increased capacity in the sub-region and with their Accelerated Construction and Housing Infrastructure Fund (HIF) programmes to de-risk sites.</td>
<td>1 5 5</td>
</tr>
</tbody>
</table>

## Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR19: Tree Management.</td>
<td></td>
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<tr>
<td>Risk of trees falling as a result of failure under certain weather conditions and/or due to disease.</td>
<td>The areas with responsibility for trees include highways, parking, housing, parks, and property. We have been analysing the trees that are potentially at risk and appropriate resources are being assigned to tree management. We have been analysing our tree claims data to identify further strategies to manage the risk. A budget for tree management from parks and highways has been protected for 2018-19 while this is reviewed to deal with highways and parks trees. There is an agreement to consolidate budgets to manage the tree portfolio and to adopt the Quantified Tree Risk Assessment (QTRA) method for the inspection and recoding of data on the Confirm system.</td>
<td>New 3 5 15</td>
<td>We are reviewing the tree management plan to assure that all trees are within the inspection regime in readiness for the adoption of the QTRA methodology. Budgets will be consolidated to provide a central tree management programme. Consideration on the current service provision related to tree management will include best value analysis.</td>
<td>1 5 5</td>
</tr>
</tbody>
</table>

### CRR20: Information Governance.

**General Data Protection Regulation (GDPR) compliance.**

If the Council fails to maintain a defensible and compliant response to the Data Protection Act 2018 and General Data Protection Regulation (GDPR) then it will fail to fully comply with its statutory requirements.

Key potential causes are:
- Failure to invest in the required systems, equipment and posts required to implement these regulations.
- Failure to adequately train staff in the requirements of the regulations.
- Lack of resource (capacity or expertise) to manage Subject Access Requests.

This risk replaces CRR14 Introduction of the General Data Protection Regulation.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>What we are doing</th>
</tr>
</thead>
<tbody>
<tr>
<td>We have made significant progress on compliance with the General Data Protection Regulation (GDPR). A significant investment of resources has already been made in a high profile project which has put the essential elements of GDPR in place for when GDPR came into effect. The council continues to invest in GDPR compliance through the next phase with a focus on embedding GDPR to ensure this can be maintained and developed. A project team was put in place November 2017 and a plan developed around the Information Commissioners Office (ICO) 12 step plan January 2018. A ‘Senior Information Risk Owner’ was appointed (SIRO) February 2018 and Project Manager in November 2017, funding for additional Project Resource was approved by Statutory and Policy Board, April 2018. An informed Health Check with a supporting action plan was put in place February 2018 refocussing the project on essential elements of compliance for 25 May 2018. An Assurance Group is in place to support the SIRO and will continue to meet to manage and monitor the plan. The Extended Director Management Team has been briefed and weekly progress updates provided. The Data Protection/ Data Retention Policies have been updated and Data Protection (DP) guidance has been revised. The Data Protection Officer is in post and the Statutory Data Protection Officer has been appointed Q4. 2017/18. We have reviewed and implemented the Privacy Impact Assessment process and updated data sharing agreements with external partners and written to 1,200 highest risk suppliers to advise changes to contract. A Data Protection Audit of Personal Data held has been carried out and the Record of Processing Activities (ROPA’s) completed. Interim improvements have been made to the Subject access request process to centralise the receipt of requests. The anticipated increase in requests has not yet materialised and improvements have been made to the way Data breaches are reported. Support has been provided to schools including a brief, guidance and templates and access to a data protection lawyer. Assurance that GDPR companies and schools are compliant and was reviewed in Q4. 2018 and is ongoing. Members have been briefed and template ROPA’s and Privacy Notices provided in Q4. 2017/18. A staff E-Learning package was launched and 99.9% of staff completed this. A training package was also been launched for staff who do not have access to ICT systems. New notices have been made available on the council web site detailing how we use personal data in a more transparent manner. Communication has been via the Source with council wide GDPR Communication in May 2018 as well as the ask GDPR mailbox, twice weekly drop-in sessions and the intranet - Source page has been updated with guidance, templates and examples for GDPR actions. There is regular reporting to the Cabinet Member for Finance, Governance and Performance, Deputy Mayor Cllr. Cheney, on progress against GDPR plan with updates provided to the Audit Committee quarterly.</td>
<td>Having achieved the essential elements for the introduction of GDPR, the challenge now is to consolidate this position to complete the remaining GDPR requirements and embed this so that we maintain our position and further improve information governance on an ongoing basis. The initial project structure was appropriate to deliver the urgent and large scale transition through to compliance. Moving forward it is critical to ensure the necessary leadership and resources are in place to provide focus on data protection that will live beyond the life of the project. Establishing a core Data Protection team led by a statutory Data Protection Officer will enable this. An interim statutory DPO will be appointed (August 2018) and tasked to design the structure and resources required and plan for the delivery in a prioritised and sequential basis (October 2018 and recruit into the permanent posts (December / January 2019). To ensure continued buy-in from across the organisation the GDPR group will continue to meet. The group has already developed a set of objectives for the next phase of work.</td>
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</table>
## Corporate Risk Register as at August 2018 - Risks to the achievement of Bristol City Councils Objectives.

<table>
<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Current Risk Level</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRR21: Partnerships Governance.</td>
<td>BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB. Leads have defined recommendations to develop partnership working which were received by the Audit Committee in April 2016. BCC has mechanisms in place for regular dialogue including formal partnerships.</td>
<td>Performance: Likelihood 3, Impact 5, Risk Rating 15</td>
<td>We are reviewing and refreshing the Partnership Policy and Toolkit. Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate. We are scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy.</td>
<td>Likelihood 2, Impact 3, Risk Rating 6</td>
</tr>
</tbody>
</table>

Key potential causes are:

- Failure to establish and/or manage contracts, Service Level Agreements and/or Terms of Reference in relation to partnerships.
- Not maintaining a central register of partnerships, membership, governance arrangements and performance measures.
- No identified lead officer to progress development of partnership working as in proposals presented to the Audit Committee in April 2016.
- Outdated partnership policy and toolkit (last iteration 2010). A broad range of partnerships with variable degrees of formality.

### Appendix A: Bristol City Council - Corporate Risk Register Report Q2 2018/19

#### Opportunity Risks

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<thead>
<tr>
<th>Risk title and description</th>
<th>What we have done</th>
<th>Performance</th>
<th>Current Risk Level</th>
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<th>Tolerance Risk Level</th>
</tr>
</thead>
</table>
| **OPP1: One City Approach** | The One City Approach will offer a new way to plan strategically with partners as part of a wider city system. Key potential causes:  
- Mayoral aspiration and widespread partner sign-up to the principle.  
- Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan. | We have scoped and entered 'Phase Three' of development of the One City Approach (OCA), including catalysing One City Plan development by providing core resource for a City Office structure. | New | Internal resource will be identified to help catalyse activity and develop the One City Plan product, with multiple offers of support from city partners. By January 2019 we will have:  
- Developed a 'One City Plan' in partnership with a variety of city-wide and regional organisations, including scoping the formal governance of the City Office and One City Approach.  
- Continued existing initiatives to trial and iterate the One City Approach.  
- Instigated or enabled new projects with partners where there is a strategic fit and an opportunity to further develop a working OCA model. | 4 5 20 |
| Risk Owner: Head of Paid Service. Action Owner: Interim Director of City Wellbeing, Resilience and Strategic Partnerships. | | | | | |

<table>
<thead>
<tr>
<th>Risk title and description</th>
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<th>Current Risk Level</th>
<th>What we are doing</th>
<th>Tolerance Risk Level</th>
</tr>
</thead>
</table>
| **OPP2: Corporate Strategy** | The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks. Key potential causes:  
- Approved Corporate Strategy provides the foundation and direction for the organisation. | We have approved and adopted the Corporate Strategy, Business Plan 18/19 and Performance Framework 18/19 through appropriate Decision Pathways. Re-launched ‘My Performance’ reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 18/19. Begun scoping the business planning process for 2019/20 to iterate and improve our approach, particularly with regards to performance management and corporate prioritisation. | New | Good progress has been made in starting to embed the Corporate Strategy, including building full consideration of it in to the Decision Pathway. Work to continue improving business planning for next year is underway, although at an early stage. We are focussing on:  
- Designing and launching an integrated business planning approach for 2019/20, linking financial planning, and service planning and performance management more closely and from an earlier starting point.  
- Continuing to scope and procure a replacement for the 'My Performance' system. | 4 5 20 |
## OPP3: Devolution

**Risk title and description**
Should the potential arise for opportunities from a region’s evolving second devolution deal that could lead to an opportunity to align the Councils corporate priorities and strengthen regional partnership working.

**Key potential causes:**
- Potential development of second devolution deal.

**What we have done**
We continue to engage with West England Combined Authority; but with recognition that focus has been placed more on a proposed housing fund.

**What we are doing**
We will continue to engage with WECA at strategic level.

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<tr>
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</thead>
<tbody>
<tr>
<td><strong>Current Risk Level</strong></td>
<td><strong>Likelihood</strong></td>
<td><strong>Impact</strong></td>
<td><strong>Risk Rating</strong></td>
</tr>
<tr>
<td>Performance</td>
<td>New</td>
<td>3</td>
<td>5</td>
</tr>
</tbody>
</table>

## OPP4: Brexit.

**Risk title and description**
If exiting the European Union provides benefits, such as increased domestic concentration of power, this may lead to opportunities for this to be harnessed at a local or regional level.

**Key potential causes for enhancing and exploiting:**
- Exciting the European Union.

**What we have done**
- Established a city Brexit response group.
- Met Michel Barnier in Brussels with the Core Cities.
- Been monitoring the environment; including news of threats from large local employers of leaving UK.
- Collaborated on draft Inclusive Economic Growth Strategy.

**What we are doing**
We continue to work with Core Cities and M8 leaders on concerted joint efforts.

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<tr>
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</thead>
<tbody>
<tr>
<td><strong>Current Risk Level</strong></td>
<td><strong>Likelihood</strong></td>
<td><strong>Impact</strong></td>
<td><strong>Risk Rating</strong></td>
</tr>
<tr>
<td>Performance</td>
<td>New</td>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

We are monitoring the issue on an ongoing basis.

A further meeting of Bristol Brexit Response Group is planned for October 2018.
### BCCC1: Flooding.

There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river and groundwater flood events.

**Key potential causes are:**
- Tidal surge, heavy rainfall, river and groundwater flood events.
- Impact of climate change.
- Lack of effective flood defences and preparedness for major incidents.

The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.

Bristol is working with the Avon and Somerset LRF to construct new sea defences around North Somerset, Bristol and South Gloucestershire, working with emergency services, local authorities and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments, providing guidance to members of the public about flooding, including flood warnings and what people can do to help themselves, regular maintenance and clearing programs of gullies and culverts, especially in the event of storm warnings.

Bristol has in place a local Flood Risk Management Strategy approved at Cabinet in December 2017 which comprises of 5 keys areas and 43 separate actions in line with Environment Agency’s national strategy.

- There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects:
  - Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change.
  - Working in partnership with South Gloucester and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including climate change.

**Risk Owner:** Interim Executive Director Growth and Regeneration.

**Action Owner:** Director Transport, Flood Risk Engineer, Strategic City Transport.

**Portfolio Flag:** Energy, Waste and Regulatory Services.

**Strategy Theme:** Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.

### BCCC2: Brexit.

The risk that Brexit (and any resulting 'deal' or 'no deal') will impact the local economy, local funding and delivery of council services, and that uncertainty around Brexit could impact our ability to accurately assess or plan for potential positive or negative outcomes.

**Key potential causes are:**
- Exiting the European Union.
- Reported lack of majority view on Government White Paper.
- Unprecedented and complex national / international process.

We have:
- Established a city Brexit response group.
- Met Michel Barnier in Brussels with the core cities.
- Been monitoring the environment; including news of threats from large local employers of leaving UK.
- Collaborated on draft Inclusive Economic Growth Strategy.

We continue to work with Core Cities and M8 leaders on concerted joint efforts.

**Risk Owner:** Head of Paid Service.

**Action Owner:** Acting Head of Policy and Public Affairs.

**Portfolio Flag:** Finance, Governance and Performance.

**Strategy Theme:** Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.
### Corporate Threat Risk Performance Summary

The risks are set out by the highest risk rating first in the Q2 18/19 column.

| Appendix Page | Risk ID | Risk Description                                                                 | Risk Owner                                                                 | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel | Rating | Travel |
|---------------|--------|----------------------------------------------------------------------------------|---------------------------------------------------------------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|        |
| 1             | CRR1   | Long Term Commercial Investments                                                 | Interim Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer | 4x7=28 | ↑      | 3x7=21 | ↑      | 3x7=21 | ↑      |
| 2             | CRR2   | IT Infrastructure                                                                | Director Digital Transformation                                            | 3x7=21 | ↑      | 3x7=21 | ↑      | 3x7=21 | ↑      |
| 3             | CRR3   | Asbestos Management                                                              | Head of Paid Service and CLB                                               | 3x7=21 | ↑      | 3x7=21 | ↑      | 3x7=21 | ↑      |
| 4             | CRR4   | Corporate Health, Safety and Wellbeing                                           | Head of Paid Service and CLB                                               | 3x7=21 | ↑      | 3x7=21 | ↑      | 3x7=21 | ↑      |
| 5             | CRR5   | Business Continuity and Council Resilience                                       | Acting Executive Director Communities                                      | 3x7=21 | ↑      | 3x7=21 | ↑      | 3x7=21 | ↑      |
| 6             | CRR6   | Fraud and Corruption                                                             | Executive Director Resources and Director of Finance (Section 151 Officer) | 3x5=15 | ↑      | 3x5=15 | ↑      | 3x5=15 | ↑      |
| 7             | CRR7   | Cyber-attack threats and implications                                            | Director Digital Transformation                                            | 3x5=15 | ↑      | 3x5=15 | ↑      | 3x5=15 | ↑      |
| 8             | CRR8   | Service Review                                                                   | Head of Paid Service                                                       | 3x5=20 | ↑      | 3x5=15 | ↑      | 3x5=15 | ↑      |
| 18            | CRR19  | Tree Management                                                                   | Acting Executive Director Communities                                      |        |        |        |        | 3x5=15 | New    |
|               | CRR21  | Partnerships Governance                                                           | Head of Paid Service                                                       |        |        |        |        | 3x5=15 | New    |
|               | CRR9   | Safeguarding Vulnerable Children                                                 | Executive Director, Adults, Children and Education                         | 2x7=14 | ↑      | 2x7=14 | ↑      | 2x7=14 | ↑      |
|               | CRR10  | Safeguarding Vulnerable Adults                                                   | Executive Director, Adults, Children and Education                         | 2x7=14 | ↑      | 2x7=14 | ↑      | 2x7=14 | ↑      |
| 11            | CRR11  | BCC Infrastructure Delivery                                                       | Director of Finance (Section 151 Officer) and Interim Executive Director Growth and Regeneration | 2x7=14 | ↑      | 2x7=14 | ↑      | 2x7=14 | ↑      |
|               | CRR12  | Failure to deliver suitable planning measures, respond to and manage events when they occur. (Previously Civil Contingencies and Council Resilience) | Acting Executive Director Communities                                      | 3x7=21 | ↑      | 2x7=14 | ↑      | 2x7=14 | ↑      |
| 13            | CRR13  | Financial Framework and MTFP                                                      | Director of Finance (Section 151 Officer)                                  | 2x7=14 | ↑      | 2x5=10 | ↑      | 2x5=10 | ↑      |
| 14            | CRR15  | Financial Deficit                                                                | Director of Finance (Section 151 Officer)                                  | 2x5=10 | ↑      | 2x5=10 | ↑      | 2x5=10 | ↑      |
| 15            | CRR16  | Leadership                                                                       | Head of Paid Service and CLB                                               | 4x5=20 | ↑      | 2x5=10 | ↑      | 2x5=10 | ↑      |
| 17            | CRR18  | Failure to deliver 2000 Homes per annum by 2020.                                  | Interim Executive Director Growth and Regeneration                          | 2x5=10 | New    |        |        |        |        |
| 19            | CRR20  | General Data Protection Regulation (GDPR) compliance. (Replaces CRR14)           | Senior Information Risk Owner (SIRO)                                       | 2x5=10 | New    |        |        |        |        |
| 16            | CRR17  | Strategy Management                                                              | Head of Paid Service                                                       | 2x7=14 | ↑      | 2x7=14 | ↑      | 1x7=7  | ↑      |
|               | CRR14  | Information Governance Introduction of the General Data Protection Regulation (GDPR) (Replaced by CRR21) | Senior Information Risk Owner (SIRO)                                       | 2x7=14 | ↑      | 2x5=10 | ↑      |        |        |
## Corporate Risk Performance Summary for Opportunity risks
The risks are set out by the highest risk rating first in the Q2 18/19 column.

<table>
<thead>
<tr>
<th>Appendix Page</th>
<th>Risk ID</th>
<th>Risk</th>
<th>Risk Owner</th>
<th>Rating</th>
<th>Travel</th>
<th>Rating</th>
<th>Travel</th>
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<th>Travel</th>
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</thead>
<tbody>
<tr>
<td>21</td>
<td>OPP1</td>
<td>One City</td>
<td>Head of Paid Service</td>
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<td>3x5=15</td>
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<tr>
<td>21</td>
<td>OPP2</td>
<td>Corporate Strategy</td>
<td>Head of Paid Service</td>
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<tr>
<td>22</td>
<td>OPP3</td>
<td>Devolution</td>
<td>Head of Paid Service</td>
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<td>New</td>
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<tr>
<td>22</td>
<td>OPP4</td>
<td>Brexit</td>
<td>Head of Paid Service</td>
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<td>1x5=10</td>
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## Corporate Risk Performance Summary for External and Civil Contingency risks
The risks are set out by the highest risk rating first in the Q2 18/19 column.

<table>
<thead>
<tr>
<th>Appendix Page</th>
<th>Risk ID</th>
<th>Risk</th>
<th>Risk Owner</th>
<th>Rating</th>
<th>Travel</th>
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<th>Travel</th>
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</thead>
<tbody>
<tr>
<td>23</td>
<td>BCCC1</td>
<td>Flooding</td>
<td>Interim Executive Director Growth and Regeneration</td>
<td></td>
<td></td>
<td>3x5=15</td>
<td></td>
<td>3x5=15</td>
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<td></td>
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</tr>
<tr>
<td>23</td>
<td>BCCC2</td>
<td>Brexit</td>
<td>Head of Paid Service</td>
<td></td>
<td></td>
<td>4x3=12</td>
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<td>4x3=12</td>
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## Risk Scoring Matrix

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<tr>
<th>Likelihood</th>
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<th>2</th>
<th>3</th>
<th>4</th>
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<td>4</td>
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<table>
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<tr>
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<th>5</th>
<th>7</th>
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<tr>
<td>1</td>
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<td>3</td>
<td>5</td>
<td>7</td>
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### Level of Risk

<table>
<thead>
<tr>
<th>Level of Risk</th>
<th>Action required by level risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>28 Critical</td>
<td><strong>Action required.</strong> Escalate (if a Directorate level risk, escalate to the Corporate Risk Register. Escalate corporate risks to the attention of the Cabinet Lead to confirm action to be taken).</td>
</tr>
<tr>
<td>14 - 21 High</td>
<td>Must be addressed. If Directorate level consider escalating to the Corporate Risk Register. If a corporate risk consider escalating to the Cabinet Lead.</td>
</tr>
<tr>
<td>5 - 12 Medium</td>
<td>Action required, manage and monitor at the Directorate level.</td>
</tr>
<tr>
<td>1 - 4 Low</td>
<td>May not need any further action / monitor at the service level.</td>
</tr>
</tbody>
</table>

### Current and Tolerance risk ratings:

The ‘Current’ risk rating for both threats and opportunities refers to the current level of risk taking into account any strategies to manage risk - management actions, controls and fall back plans already in place. The ‘Tolerance’ rating represents what is deemed to be a realistic level of risk to be achieved once additional actions have been put in place. On some occasions the aim will be to contain the level of the risk at the current level.

### Positive Risks (Opportunities):

Where the risk is an opportunity, a cost benefit analysis is required to determine whether the opportunity is worth pursuing, guided by the score for the matrix, e.g. an opportunity with a score of 28 would be pursued as it would offer considerable benefits for little risk.
### Likelihood and Impact Risk Rating Scoring

#### Likelihood Guidance

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Likelihood Ratings 1 to 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description</td>
<td>Might happen on rare occasions.</td>
</tr>
<tr>
<td>Numerical Likelihood</td>
<td>Less than 10%</td>
</tr>
</tbody>
</table>

#### Severity of Impact Guidance

(Risk to be assessed against all of the Categories, and the highest score used in the matrix.)

<table>
<thead>
<tr>
<th>Impact Category</th>
<th>Impact Levels 1 to 7</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Service provision</strong></td>
<td>Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.</td>
</tr>
<tr>
<td><strong>Communities</strong></td>
<td>Minimal impact on community. Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.</td>
</tr>
<tr>
<td><strong>Environmental</strong></td>
<td>No effect (positive or negative) on the natural and built environment.</td>
</tr>
<tr>
<td><strong>Financial Loss / Gain</strong></td>
<td>Under £0.5m</td>
</tr>
<tr>
<td><strong>Fraud &amp; Corruption Loss</strong></td>
<td>Under £50k</td>
</tr>
<tr>
<td><strong>Legal</strong></td>
<td>No significant legal implications or action is anticipated. Tribunal / BCC legal team involvement required (potential for claim).</td>
</tr>
<tr>
<td><strong>Personal Safety</strong></td>
<td>Minor injury to citizens or colleagues. Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.</td>
</tr>
<tr>
<td><strong>Programme / Project Management (Including developing commercial enterprises)</strong></td>
<td>Minor delays and/or budget overspend, but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.</td>
</tr>
<tr>
<td><strong>Reputation</strong></td>
<td>Minimal and transient loss of public or partner trust. Contained within the individual service. Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.</td>
</tr>
</tbody>
</table>
THIS DOCUMENT GIVES NOTICE OF
ANTICIPATED KEY DECISIONS TO BE TAKEN
AT CABINET AND OTHER MEETINGS

This update published 8 October 2018
Democratic Services
Contact: Sam Wilcock, Democratic Services Officer, email: sam.wilcock@bristol.gov.uk
Tel: 0117 92 23846
The Forward Plan gives notice of anticipated key decisions to be taken at Cabinet, Health and Wellbeing Board and Learning City Partnership Board meetings. It will be updated and published on the Council website www.bristol.gov.uk on a monthly basis.

**Key Decision**
Under the Council’s constitution, the definition of a key decision is a decision which is likely to:

1) Result in expenditure of £500,000 or over.

2) Result in savings of £500,000 or over.

3) Be significant in terms of its effects on communities living or working in two or more wards in the city.

**Non-key Decision**
For additional information and completeness the Forward Plan also contains those items which are outside the definition of a key decision.

**Cabinet Meetings**
The Cabinet will normally meet on a Tuesday on a six weekly cycle. Meetings start at 4pm and are currently held at City Hall, College Green Bristol, BS1 5TR. Meetings of the Cabinet are open to the public with the exception of discussion regarding reports which contain exempt/confidential, commercially sensitive or personal information which will be identified in the Mayor’s Forward Plan).

Reports submitted to the Mayor and Cabinet will be available on the council’s website 5 clear working days before the date the decision can be made. If you would like a copy by email please contact democratic.services@bristol.gov.uk
Glossary:

<table>
<thead>
<tr>
<th>HWB</th>
<th>Health and Wellbeing Board</th>
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<tbody>
<tr>
<td>LCPB</td>
<td>Learning City Partnership Board</td>
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<tr>
<td>APR15</td>
<td>Under the Council’s Constitution if a key decision needs to be taken with less than 28 days’ notice, it can still be taken under <strong>APR15 – General Exception</strong>, if it is impracticable to defer it until the next scheduled Cabinet meeting. The relevant Scrutiny Commission must be notified and the report published as part of the agenda 5 clear working days ahead of the Cabinet meeting</td>
</tr>
</tbody>
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<table>
<thead>
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<tbody>
<tr>
<td>1</td>
<td>Information relating to any individual.</td>
</tr>
<tr>
<td>2</td>
<td>Information which is likely to reveal the identity of an individual.</td>
</tr>
<tr>
<td>3</td>
<td>Information relating to the financial or business affairs of any particular person (including the authority holding that information).</td>
</tr>
<tr>
<td>4</td>
<td>Information relating to any consultations or negotiations, or contemplated consultations or negotiations, with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under the authority.</td>
</tr>
<tr>
<td>5</td>
<td>Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.</td>
</tr>
<tr>
<td>6</td>
<td>Information which reveals that the authority proposes (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; Or (b) to make an order or direction under any enactment.</td>
</tr>
<tr>
<td>7</td>
<td>Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of a crime.</td>
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</tbody>
</table>
Cabinet Members

- Marvin Rees (Lab) - Mayor of Bristol
- Cllr Craig Cheney (Lab) – Designated Deputy Mayor (with special responsibility for Finance, Governance and Performance)
- Cllr Asher Craig (Lab) – Deputy Mayor (with special responsibility for Communities)
- Cllr Nicola Beech – Cabinet Member for Spatial Planning and City Design
- Cllr Kye Dudd (Lab) – Cabinet Member for Energy, Waste and Regulatory Services
- Cllr Helen Godwin (Lab) – Cabinet Member with responsibility for Women, Children and Families (Young People), and Lead Member for Children's Services
- Cllr Helen Holland (Lab) – Cabinet Member for Adult Social Care
- Cllr Anna Keen (Lab) – Cabinet Member for Education and Skills
- Cllr Paul Smith (Lab) – Cabinet Member for Housing
- Cllr Mhairi Trelfall (Lab) – Cabinet Member for Transport and Connectivity

The City Council’s website [www.bristol.gov.uk](http://www.bristol.gov.uk) contains all supporting documents and decisions for formal meetings and lots more about the City Council.
<table>
<thead>
<tr>
<th>Lead Officer</th>
<th>Title and summary of Decision</th>
<th>Meeting date</th>
<th>Decision taker</th>
<th>Scrutiny Remit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zoe Willcox</td>
<td><strong>Urban Living Supplementary Planning Document - NEW ITEM</strong>&lt;br&gt;A report to recommend that Cabinet adopt the Urban Living Supplementary Planning Document following consultation.</td>
<td>Cabinet 6 Nov 2018</td>
<td>Councillor Nicola Beech</td>
<td>Growth and Regeneration Scrutiny Commission</td>
</tr>
<tr>
<td>David White</td>
<td><strong>City Leap: Options Appraisal Development - NEW ITEM</strong>&lt;br&gt;A report to seek approval for funding to ensure that the soft market testing exercise for the City Leap project is fully capitalised upon. This funding will maintain the existing project team and engage specialist financial and legal advice to support the development of a viable and robust options appraisal for final recommendations for Cabinet to consider at a later date.</td>
<td>Cabinet 6 Nov 2018</td>
<td>Councillor Kye Dudd</td>
<td>Communities Scrutiny Commission</td>
</tr>
<tr>
<td>Richard Marsh</td>
<td><strong>Joint Development and Land Agreement for Engine Shed 2, Temple Square and Station Approach</strong>&lt;br&gt;This report recommends proposals to progress the joint development and land agreement at Engine Shed 2, Temple Square and Station Approach.</td>
<td>Cabinet 6 Nov 2018</td>
<td>Councillor Craig Cheney</td>
<td>Growth and Regeneration Scrutiny Commission</td>
</tr>
<tr>
<td>Lead Officer</td>
<td>Title and summary of Decision</td>
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Page 106
## Scrutiny Work Programme 2018 / 2019

<table>
<thead>
<tr>
<th>Adults, Children and Education Scrutiny Commission</th>
<th>Communities Scrutiny Commission</th>
<th>Growth and Regeneration Scrutiny Commission</th>
<th>Resources Scrutiny Commission</th>
<th>Overview &amp; Scrutiny Management Board</th>
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<tbody>
<tr>
<td>July 2018</td>
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<td>26th July, 6pm</td>
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<td></td>
<td>Annual Business Report</td>
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<td>Joint Local Transport Plan</td>
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<td>Bristol Transport Strategy</td>
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<td>Cllr Threlfall Q&amp;A / discussion session</td>
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<td>Trusts and Mutualisation Report</td>
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<td>Air Quality</td>
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<td>August 2018</td>
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<td>13th August, 9.30 am</td>
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<td>Housing Company (closed briefing and Q&amp;A session for Commission Members and OSMB)</td>
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<td>September 2018</td>
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<td>10th September, 10am</td>
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<td>24th September, 3pm</td>
<td>3rd September</td>
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<td>Waste:</td>
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<tr>
<td>• Bristol Waste Company</td>
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<tr>
<td>• Cleanliness of city / clean streets campaign – update</td>
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<tr>
<td>• Enforcement</td>
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<tr>
<td>Community Safety statistics (Safer Bristol)</td>
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<td>Directorate Performance Report (KPIs)</td>
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<td>ICT Systems and Strategy</td>
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<tr>
<td>Commercialisation and Income Generation</td>
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<tr>
<td>Companies Governance Review – information only</td>
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<tr>
<td>Annual Business Report</td>
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<tr>
<td>Creation of the Housing Company – information only</td>
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<tr>
<td>Finance Report</td>
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<td>Bristol Energy Operational Plan</td>
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<td>Directorate Performance Report (KPI’s)</td>
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<td>Adults, Children and Education Scrutiny Commission</td>
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<td>Growth and Regeneration Scrutiny Commission</td>
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<td>Overview &amp; Scrutiny Management Board</td>
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<td>Risk Register (Corporate)</td>
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<tr>
<td><strong>October 2018</strong></td>
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<tr>
<td>Thurs, 18th October, 5pm</td>
<td></td>
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<td></td>
<td>25th October 4pm MQT &amp; 5pm OSMB</td>
</tr>
<tr>
<td>Strengthening Families Programme and Adverse Childhood Experiences</td>
<td></td>
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<td></td>
<td>Equalities Policy &amp; Strategy</td>
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<tr>
<td>Children’s Centres</td>
<td></td>
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<td>Corporate Performance Report</td>
</tr>
<tr>
<td>Suicide (University) Clusters</td>
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<td></td>
<td>Corporate Risk Register</td>
</tr>
<tr>
<td>Directorate Performance Report (KPIs)</td>
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<td>Standing item – Chair’s Updates</td>
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<tr>
<td>Directorate Risk Register</td>
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</tr>
<tr>
<td><strong>November 2018</strong></td>
<td>12th November 10.00 am</td>
<td>29th November, 5pm</td>
<td>Tues 27th November (4pm MQT / 5pm OSMB)</td>
<td></td>
</tr>
<tr>
<td>• Implementation</td>
<td>• Private rented sector / HMO regulation</td>
<td></td>
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<tr>
<td>• Delayed Transfers of Care</td>
<td>• Tackling housing crisis</td>
<td></td>
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</tr>
<tr>
<td>• Recommendations from the Adult Social Care Scrutiny Task Group</td>
<td>• Van Dwellers</td>
<td></td>
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</tr>
<tr>
<td>Female Genital Mutilation (FGM)</td>
<td>Community Safety Statistics (Safer Bristol)</td>
<td>Harbour Review</td>
<td>Provisional Item - Local High Streets</td>
<td></td>
</tr>
<tr>
<td>Public Health</td>
<td>Risk Register</td>
<td>City Leap Project</td>
<td>Provisional item – One City Plan</td>
<td></td>
</tr>
<tr>
<td>Directorate Performance Report (KPI’s)</td>
<td></td>
<td>Directorate Performance Report (KPI’s)</td>
<td>Standing item – Chair’s Updates</td>
<td></td>
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<tr>
<td>Directorate Risk Register (TBC)</td>
<td></td>
<td>Risk Register</td>
<td></td>
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</tr>
<tr>
<td>Adults, Children and Education Scrutiny Commission</td>
<td>Communities Scrutiny Commission</td>
<td>Growth and Regeneration Scrutiny Commission</td>
<td>Resources Scrutiny Commission</td>
<td>Overview &amp; Scrutiny Management Board</td>
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</tr>
<tr>
<td><strong>December 2018</strong></td>
<td></td>
<td>4pm, 6th December 2018</td>
<td>Workforce and Performance TBC</td>
<td>ICT Systems and Strategy TBC</td>
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<td>Commercialisation and Income Generation</td>
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<td></td>
<td>• Commercialisation &amp; Innovation Working Group – Up-date Report (TBC)</td>
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<tr>
<td><strong>January 2019</strong></td>
<td></td>
<td>January TBC</td>
<td></td>
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<tr>
<td>14th January, 10 am</td>
<td></td>
<td>14th January, 2pm</td>
<td>Provisional item - Budget Scrutiny</td>
<td></td>
</tr>
<tr>
<td>Mental Health Recommissioning and Supporting People Services</td>
<td>CIL (update/review of new CIL committee arrangements)</td>
<td>Provisional item - Companies Business Plans</td>
<td></td>
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</tr>
<tr>
<td>Winter resilience update</td>
<td>Public Toilets</td>
<td></td>
<td>Provisional Item - Corporate Performance Report</td>
<td></td>
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<tr>
<td>Directorate Performance Report (KPI’s)</td>
<td>Standing Items TBC:</td>
<td></td>
<td>Standing item – Chair’s Updates</td>
<td></td>
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<tr>
<td>• Community Safety statistics (Safer Bristol)</td>
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<td>• Directorate Risk Register</td>
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<td>Directorate Risk Register (TBC)</td>
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</table>

**February 2019**
<table>
<thead>
<tr>
<th><strong>March 2019</strong></th>
<th><strong>April 2019</strong></th>
<th><strong>April TBC</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>25th (tbc) March, 4pm</strong></td>
<td></td>
<td><strong>Provisional Item</strong> - Corporate Performance Report</td>
</tr>
<tr>
<td>School Places – Provision, Expansion and Admissions</td>
<td></td>
<td><strong>Provisional Item</strong> - Corporate Risk Register</td>
</tr>
<tr>
<td>Bristol Hospital Education Services</td>
<td></td>
<td>Standing item – Chair’s Updates</td>
</tr>
<tr>
<td>School readiness risks and action plans</td>
<td></td>
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<tr>
<td>Learning City update</td>
<td></td>
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<tr>
<td>Care Leavers</td>
<td></td>
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<tr>
<td>SEND Scrutiny task group update report</td>
<td></td>
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<tr>
<td>Directorate Performance Report (KPI’s)</td>
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<tr>
<td>Directorate Risk Register (TBC)</td>
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</tbody>
</table>

<p>| <strong>Items to be Scheduled</strong> | | |
|---------------------------|----------------------|
| Quality Accounts | Public Toilets (January/TBC) |
| | Cross-Border Planning Issues (provisional – TBC) |
| | Housing allocations / home |
| | Harbourside Regeneration |</p>
<table>
<thead>
<tr>
<th>choice review – moved from November 18 as review not yet commenced.</th>
<th>and Flood Strategy &amp; Cumberland Basin / Weston Harbour (yet TBC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate Change ID (yet TBC)</td>
<td>Parking (TBC if being rescheduled)</td>
</tr>
</tbody>
</table>

**Joint Health Overview and Scrutiny Committee**  
(Bristol, North Somerset and South Gloucestershire (BNSSG) : Sustainable Transformation Partnership)  

26th September, 2pm (Hosted by South Gloucestershire)

Items in respect of the ‘Healthier Together’ Programme (to be confirmed)